U.S. Department of
Homeland Security

United States
Coast Guard

INFORMATION AND LIFE CYCLE MANAGEMENT MANUAL

COMDTINST M5212.12A
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U.S. Department of Homeland Security
United States Coast Guard

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COMMANDANT INSTRUCTION M5212.12A

Subj: INFORMATION AND LIFE CYCLE MANAGEMENT MANUAL

Ref: (a) Standard Subject Identification Codes (SSIC) Manual, COMDTINST M5210.5 (series)
(b) Coast Guard Freedom of Information and Privacy Acts Manual, COMDTINST M5260.3 (series)
(c) Classified Information Management Program, COMDTINST M5510.23 (series)
(d) The Coast Guard Directives System, COMDTINST M5215.6 (series)

1. PURPOSE. This Manual prescribes policies and procedures for administering the Coast Guard Records, Forms and Reports Programs as they relate to the lifecycle management of both paper and electronic documents/data. This expanded Manual combines key parameters of Information Management Programs into one document for the convenience of the user.

2. ACTION. Area and district commanders, commanders maintenance and logistics commands, commanding officers of headquarters units, assistant commandants for directorates, Chief Counsel and special staff offices at Headquarters shall ensure compliance with the provisions of this Manual. Internet release authorized.

3. DIRECTIVES AFFECTED. The following directives are canceled: The Paperwork Management Manual, COMDTINST M5212.12; Maintenance, Transfer, and Destruction of Headquarters Records, HQINST M5212.6A; Vital Records Program, COMDTINST 5212.13A; Transferring Records to Federal Records Centers, COMDTINST 5212.16; Forms Management, HQINST 5213.8; and Records Management Responsibilities/Updates, COMDTINST 5212.19.

4. SCOPE. The provisions of this Manual apply throughout the Coast Guard and are designed to assist Headquarters and field activities in planning and accomplishing a systematic program for the creation, maintenance and disposition of record material. All users are directed to follow the

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	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z
A	1	1	1	1	1	1	1	1	1	1		1	1	1	1	1	1	1	1		1					
B		8	10	2	12	7	20	6	9	7	3	2	1	14	3	1	1	50	1	2	4	1	3	1	1	1
C	3	2	1	2	3	1	1	1	1	1	3	1	2	4	1	3	1	1	1	1	1	1	1	1		
D	1	1	1	3	1	1	1	1	1	1	1	1	1	1	1	1	1	1	2	1	1	1	1			
E	1	1	1	1	2	2	2	1	2	1	1	1	1	1	1		1		1	1			1	1		
F																	1	1	1							
G		1	1	1	1																					
H																										

NON-STANDARD DISTRIBUTION:

provisions of references (a) through (d). The Records Program is subject to the mandates of the National Archives and Records Administration (NARA) www.nara.gov.

5. DISCUSSION. This Manual is comprised of several distinct sections for reference:

   a. Section I outlines legal and procedural requirements for ensuring a uniform agency recordkeeping system, including the administration of the Forms and Reports Programs. Specific guidance germane to Headquarters offices is included separately. Further, authorities and references are listed on page ii of this Manual, outlining controls required of Federal agencies regarding the creation and maintenance of information.

   b. Section II provides an easy-to-use guide for looking up descriptions of Coast Guard records, with retention schedules based on the alphanumeric Standard Subject Identification Code (SSIC) system.

   c. Section III, the General Records Schedules (GRS), published by the National Archives and Records Administration (NARA), provide further guidance on managing records common to all Federal agencies, e.g. budgetary and administrative files.

6. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Environmental considerations were examined in the development of this directive and have been determined to be not applicable.

7. FORMS AVAILABILITY. See Appendix B.

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Assistant Commandant for Command, Control, Communications, Computers and Information Technology

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ADDITIONAL REFERENCES

a. The Records Disposal Act of 1943, as amended (157 Stat.380-383; 44 USC, 366 et.seq.)
b. Crimes and Criminal Procedures Act (18 USC 285, 2071)
c. The Federal Records Act of 1950 (44 USC Chapters 21, 29, 31 and 33)
d. The Paperwork Reduction Act of 1995 (44 USC, Chapter 35)
e. Title 36 Code of Federal Regulations (CFR) 1220, Records Management
f. Title 36 CFR 1228, Disposition of Federal Records
g. Title 36 CFR 1230, Micrographics
h. Title 36 CFR, 1232, Audiovisual Records Management
i. Title 36 CFR 1234, Electronic Records Management
j. 41 CFR Part 101, Federal Procurement Management Reform Act (FPMR), Subpart B
k. Federal Rules of Evidence
l. Privacy Act of 1974 (5 USC 552a)
m. Information Technology Management Reform Act (ITMRA) of 1996, P.L. 104-208
n. Freedom of Information Act (5 USC 552)
o. Government Paperwork Elimination Act (GPEA)
p. Office of Management and Budget (OMB) Circular A-130
q. Electronic Government Act of 2002
r. General Records Schedules published by the National Archives and Records Administration (NARA)

SECTION I

CHAPTER 1. General Records Program Information

A. Purpose

This Manual outlines responsibilities and prescribes policies and procedures for the maintenance, transfer and disposition of record material. It shall be used in planning and accomplishing a systematic records retention, transfer and disposal program for both paper and electronic records.

B. Discussion

The establishment and maintenance of an active, continuing records transfer, preservation and destruction program (hereafter referred to as life cycle) is the combined responsibility of the Commandant, area and district commanders, and commanders, maintenance and logistics commands, for Coast Guard units under their purview. Effective controls over the life cycle of records will maximize the use of space and equipment, and will further provide management with more easily identifiable and retrievable records with which to conduct daily business. Additionally, those records required by law to be kept for proper documentation of Coast Guard organizations and missions are readily identified.

C. Responsibilities

1. Commandant (CG-61) shall:

    a. Establish policy and work with Program Managers to develop procedures relating to the life cycle of Coast Guard records.

    b. Collaborate with Program Managers, record custodians/owners, and legal counsel to determine records disposition standards.

    c. Conduct required liaison activities with the National Archives and Records Administration (NARA) concerning records disposition standards, policies and procedures.

2. Area and district commanders, commanders maintenance and logistics commands, and commanding officers of headquarters units and integrated support commands shall:

    a. Designate a Records Coordinator (RC) to provide guidance to subordinate units and to act as a point of contact for all record related matters within the Command. Submit the name and phone number of the Records Coordinator to Commandant (CG-61) upon receipt of this Manual and thereafter whenever a change occurs.

b. Prescribe records management standards to be applied within their commands; provide guidance as necessary to subordinate units; and ensure compliance with the provisions of references (a) through (d).

3. Records Coordinators and Program Managers shall:

   a. Maintain a copy of each Standard Form 135, Records Transmittal and Receipt for all records transferred to a records center.

   b. Conduct local liaison activities with the appropriate Regional Administrator of the NARA facility (hereafter referred to as "records center" or "federal records center") in their Area of Responsibility (AOR) regarding transfer of records. Ensure that requirements for records creation and recordkeeping are included in the design of new systems (electronic or textual) supporting their programs.

   c. Review appropriate portions of the records schedule (Section II) and the General Records Schedule (Section III) to determine length of time (disposition) that different types of records must be maintained. For newly created record material or for record material which does not have an authorized disposition, submit a description of the records with a recommended retention period via the chain of command on a Standard Form 115, Request for Records Disposition Authority to Commandant (CG-61) for approval. In no event may record material be destroyed without obtaining an authorized disposition.

4. Assistant Commandants for directorates, Chief Counsel, and special staff offices at Headquarters shall:

   a. Appoint a Records Coordinator and ensure that the name, staff symbol and telephone number are reported to the Headquarters Support Command (HSC-a-2).

   b. Ensure that responsibilities and procedures outlined in this Manual are followed. (See Section I, Chapter 6 for specific guidance.)

D. Unlawful Removal or Destruction of Records

1. All information received, created, or compiled by federal government officials and employees for use in conducting government business is the property of the U.S. Government.

2. No federal officials or employees have, by virtue of their position, any personal or property right to official records, even though they may have helped develop or compile them.

3. The unlawful destruction, alteration, removal from files, and concealment of official records is prohibited by The Records Disposal Act.

4. The unlawful disclosure of certain information pertaining to national security and confidential business information is prohibited by the U.S. Criminal Code, Title 18 and provisions of the Privacy Act (5 USC 552a) (reference (b).

5. Records Coordinators shall contact program managers upon receipt of the NARA Form NA 13001, Notice of Eligibility for Disposal to solicit approval/disapproval and their signatures. This will ensure that records scheduled for destruction are not required for litigation or some other purpose. Failure to respond to NARA authorizing destruction means that additional charges will accrue to units/program offices "owning" the records.

E. Definitions of Terms Used

1. Record Material. Records are defined as books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by the Coast Guard in pursuance of federal law or in connection with the transaction of public business, and preserved or appropriated for preservation because they are evidence of organization, functions, policies, decisions, procedures, operations or other activities of the Coast Guard, or because of the informational value of the data contained therein. Microfilm, audiovisual materials, and automatic data processing documents/databases (including electronic mail (E-mail)) are included in this definition.

2. Non-Record Material. "Non-Record" materials are not official records and not maintained per the dispositions outlined in Sections II. and III. of this Manual.

   Examples are:

   a. Extra copies of documents preserved only for convenience or reference.

   b. "Reading file" copies of correspondence.

   c. "Tickler, follow-up or suspense" copies of correspondence.

   d. Identical duplicate copies of all documents maintained in the same system of records.

   e. Extra copies of printed or processed materials, official copies of which have been retained for record purposes.

   f. Copies of superseded manuals and other directives, for which the official file copy has been preserved.

   g. Materials documenting certain extracurricular activities such as employee welfare activities, charitable fund drives, and the like.

   h. Routing slips.

i. Working papers.

j. Drafts of reports and correspondence.

k. Transmittal sheets

l. Blank forms.

m. Transcribed stenographic materials.

n. Processed or published materials received from other activities or offices that require no action and are not required for documentary purposes. Note: The originating office or activity is required to maintain record copies of its issuances.

o. Catalogs, trade journals, and other publications or papers received from other government agencies, commercial firms, or private institutions, which require no action and are not part of a case upon which action is taken.

p. Correspondence and other records of short-term value that, after action has been completed, have neither evidential nor informational value, such as request for publications.

q. Reproduction materials such as stencils and offset plates.

r. Information copies of correspondence and other papers on which no documented administrative action is taken.

s. Physical exhibits, artifacts, and material objects lacking documentary values.

t. Computer files created solely for posting material to the Web, for which an original document or file is maintained elsewhere.

3. Life Cycle includes the creation, use, maintenance, transfer, and disposal (if scheduled for destruction by NARA) of all records, both paper and electronic. Part of the life cycle, i.e. the approved length of time for maintaining records, as well as their transfer and/or destruction, is referred to as "Disposition."

4. Permanent Records are those that have been appraised as having enduring historical, research, legal, scientific, cultural, or other values. Coast Guard's permanent records are those that will protect Coast Guard's interests long term and document the primary missions, functions, responsibilities, and significant accomplishments of the agency. Ultimately, they are sent to NARA for preservation and made available for historical research.

5. Temporary Records are those records that have been appraised as having a specified finite retention based on determined administrative, fiscal, and legal value. Inactive files may routinely be transferred to Federal Records Centers (FRCs) for storage. For those records stored at FRCs, agencies are informed prior to final disposition per the provisions of Sections II and III of this Manual.

6. Records Control Schedule is the NARA approved document describing agency records by series and establishes retention periods based on analyses of administrative, fiscal, legal or historical value to the Federal government. When transferring documents/databases to a records center, agencies cite prescribed dispositions of this Manual.

7. Transfer means to remove inactive records from Coast Guard office space or holding areas and send them to a records center or other designated location for maintenance/storage.

8. Accession Numbers are assigned to groups of records during each transfer. The Records Coordinator oversees this process with the appropriate records center and program manager.

9. Record Group Number is a permanent number assigned to an agency to distinguish its records from those of other government agencies stored at NARA's records centers. The Record Group Number for Coast Guard is "26."

F. Management of Coast Guard Records

1. The Federal Records Act of 1950 requires that adequate controls over the creation of records are provided. Records documenting the organization, functions, policies, decisions, procedures and essential transactions of the Coast Guard must be preserved to furnish information necessary to protect the legal and financial rights of the agency and persons affected by the activities of the Coast Guard. Correspondence, reports, completed forms, machine readable records with their supporting documentation, and directives are the principal types of records created. Programs, policies and procedures shall be adequately documented in directives and the record copy of each directive (including those superseded) shall be maintained as part of the official files per the Coast Guard Directives System Manual, COMDTINST M5215.6 (series).

2. Both paper and electronic files will be labeled using the Standard Subject Identification Codes (SSIC) Manual, COMDTINST M5210.5 (series). Files/systems shall be transferred or disposed of in accordance with approved schedules. (See Sections II and III of this Manual.) (Note: Disposition of electronic records will be promulgated in a subsequent issuance.) Personnel should know the disposal requirements for material they are filing/maintaining and should prepare material for eventual disposition during initial filing to eliminate costly screening later. Combining or inter-filing documents with different disposal periods should be avoided. Further, SSICs will be used for classifying,

referencing, and archiving Coast Guard documents/databases, for both paper and electronic records.

G. Authority for Disposition of Records

Records shall be preserved, transferred and/or destroyed in accordance with provisions of this Manual. Specifically, consult Section II to look up descriptions and dispositions of records. Certain of the more common items are cross-referenced to the General Records Schedules (Section III), which are published by NARA for all federal agencies. If the item for which disposition is sought is not found, use the procedures in paragraph C.3. to request an authorized disposition. These disposition schedules do not apply to records created prior to 1 January 1921. Any command/unit having records created prior to that date shall contact Commandant (CG-61) for disposition instructions. Note: When consulting Section II for descriptions of records and retention periods, in some instances specific offices/directorates cited have since been renamed due to organizational change. Since language in Section II. is taken verbatim from the NARA approved Standard Form 115, .Request for Records Disposition Authority,. signed by the Archivist of the U.S., the legally binding language remains unchanged.

H. Classified Material.

Proper security must be afforded classified documents/databases; Classified Material Control Officers (CMCOs) normally oversee this function. All personnel handling classified files shall follow the provisions of The Classified Information Management Program, COMDTINST M5510.23 (series). Microfilm copies and electronic records carry the same security classification as the original record; therefore security regulations must be followed in storing or disposing of this material. Efforts should be made to declassify or downgrade classified material before transfer to a records center.

I. Contractor Records

Records created by a contractor working for the Coast Guard are the property of the agency. Unless contract provisions explicitly define documentation to be provided to the Coast Guard, contractors are likely to treat needed documentation as private property. Contract provision should require the submission of program and administrative documentation, including background and technical documentation, to the program office. Contracts should also specify which records need to be kept by the contractor for audit or other administrative purposes and the length of time they are to be maintained.

J. Donation of Coast Guard Records

1. Federal Property Management Regulations (FPMR), Subchapter B, Archives and Records, provide for the donation or disposal of Federal records at the discretion of the agency, whenever the public interest is served. The following restrictions and procedures must be observed in donating records.

a. Only those records eligible for disposal in accordance with approved records control schedules may be considered.

b. Records authorized for disposal may be transferred to an eligible government (including a foreign government), organization, institution, corporation, or person that has made application for them provided that:

1) The applicant agrees not to sell the records as documents.

2) The transfer is made without cost to the United States Government.

3) The records do not reveal information that is prohibited by law or would be contrary to the public interest.

4) The transfer is approved by NARA.

2. Proposals to donate disposable Coast Guard records under the above authority shall be submitted to Commandant (CG-61) for approval. The proposal must include the name and address of the applicant, the intended use of the records, and other information pertinent to restrictions listed above. Include a list of the records involved with an identification by series, the inclusive dates of each series, and the item numbers of the applicable records control schedule under which the disposal is authorized.

K. Sale/Disposal of Record Materials

1. If the quality warrants, paper records authorized for destruction may be sold as wastepaper. Any such sale shall be in accordance with Federal Property Management Regulations governing the sale or salvage of government records. In addition the following provisions apply:

a. If the records are classified, their disposal is governed by Executive Order 12958.

b. If the records are restricted (laws or regulations forbid their use by the public), the wastepaper contractor shall be required to pulp, macerate or shred them. The contracting officer shall name a federal employee to witness the disposal.

2. For all other records, the contract for sale shall prohibit their resale for use as records or documents.

3. Records other than paper form (film, electronic, etc.) may be salvaged or sold in the same manner and under the same conditions as paper records.

4. All sales shall be in accordance with the established procedures for sale of surplus personal property. (FPRM regulations.)

L. Imaging/Microfilming of Records

Imaging or microfilming of records may be of value for preservation, reducing volume, providing duplicate copies, and facilitating information retrieval. Listed below are some general guidelines:

1. When records are imaged or microfilmed, original unscheduled documents/databases may not be destroyed without written approval from NARA. Further, in some instances when data/documents may be subject to audit or needed for legal purposes, a request for a new disposal authority may be required for submission to Commandant (CG-61) on a Standard Form 115, Request for Records Disposition Authority, for conversion to replace original documentation.

2. For records of permanent value, the original or "source" documents may not be destroyed without NARA's approval. Transfer original documents to the records center in the command's Area of Responsibility (AOR).

3. The imaged/filmed copies of records must carry the same security classification, if any, as the original records from which they were made.

4. Scanning/imaging is usually performed onsite; microfilming may be done at local record centers, which operate under the auspices of NARA on a cost reimbursable basis. Quality control measures shall be in place to ensure labeling, indexing, data integrity and completeness.

M. Marking of Private Papers

Papers of a private or non-official character pertaining only to an individual's personal affairs that are kept in the office of a federal official will be clearly marked or labeled by him/her as non-official and will at all times be filed separately from the office's official records. In cases where official business is conducted in private, e.g. personal correspondence, those portions will be extracted and made a part of the official files.

N. Electronic Records Management

Additional measures, including dedicated resources for migration/conversion of documents/data to ensure preservation of accurate and complete documentation, are needed for records created or received through office automation applications. Like paper records, electronic records can be lost, changed, or otherwise disposed of (deleted) prematurely. Electronic records may be admissible in court under the Federal Rules of Evidence 803(8) if trustworthiness is established by such means as implementation of a uniform electronic recordkeeping system into the enterprise architecture; most Federal agencies, including Coast Guard, are in the nascent stage of acquiring such a system.

There are a number of key issues to address to ensure long-term readability of electronic records. These include: appraising/scheduling databases and new/revised record series, with receipt of NARA approval; implementing quality control procedures for checking accuracy and completeness; and restricting access to ensure data integrity and protection of records containing privacy and other sensitive information. Further, originators/owners of electronic records are responsible for ensuring they maintain the official record, whether in electronic or paper format, for its prescribed disposition. It should be noted that Electronic Mail (E-Mail) may be considered record material and require preservation in certain instances.

NARA is in the process of promulgating standards and specific requirements for managing electronic records, as well as determining specific media and formats they will accept. Upon final publication of NARA mandates and standards for electronic records, further guidance will be published in a subsequent issuance to this Manual.

O. Preparing the Form CG-6022, File Plan

1. The office file plan is an itemized, up-to-date list of records in a designated office/unit, containing a brief description of their content, SSIC number(s), location, and disposition instructions. This plan will assist users in rapid file retrieval and serve as a training tool for new employees. Use Form CG-6022, File Plan on page I-1-11 and include the following:

    a. Office (name and symbol)

    b. Fiscal Year

    c. Name of preparing individual, with phone and room numbers

    d. Date prepared

    e. Name of supervisor reviewing form

    f. SSIC number

    g. Description of file series

    h. File Location

    i. Citations from records disposition schedule

2. Office file plans should be reviewed and signed by the immediate supervisor. The original should be placed in the first drawer of the first file cabinet**;** the second copy should be maintained by the administrative support staff for reference purposes.

3. Program offices should review Sections II and III of this Manual to ensure that proper dispositions have been assigned for all files.

4. A similar version of the file plan described above for use regarding electronic systems (particularly databases) shall be recorded on the NARA Form 14028, Information System Description Form when submitting documentation to NARA for approval.

Department of Homeland Security U.S. Coast Guard, CG-6022 (Rev. 3-03) # FILE PLAN				**Page** **of**
Office (name and symbol)				**For FY**
Prepared by (Office Records Coordinator or Administrative Staff)	**Phone No.**	**Room No.**		**Date**
Reviewed by (Supervisor)				

Item No.	SSIC No.	Title or Description of Series or System	File Location	Records Schedule Disposition Reference

Previous Edition is Obsolete.

SECTION I

CHAPTER 2. Transfer of Records to Records Centers and Direct Offer of Permanent Records to NARA

A. General Information

1. NARA maintains and operates records centers for storing, processing, and servicing federal records to ensure historic preservation. These centers are located regionally and serve as the repositories for inactive permanent/temporary agency records, generally in paper format. Files not needed for current agency operations should be transferred to the center in their region. Units should work in concert with their records coordinators and the appropriate center(s) designated on pages I-2-6 to I-2-9. Consult NARA's web site http://www.nara.gov/ for further contact information.

   Note: Headquarters personnel are to follow the provisions of this Manual and work directly with the Headquarters Support Command (HSC) unless otherwise specified. See Section I, Chapter 6 for Headquarters specific responsibilities.

2. Direct transfer of records to NARA consisting of pre-1921 documents or other permanently valuable records no longer needed by the agency for its current business operations (36 CFR 1228.262 (a)) must be made on an SF-258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States. In addition to "scheduled" permanent records that are stored at centers and later offered to NARA, some older "unscheduled" records may be eligible for direct offer. (Note: "Scheduled" records are those whose retention periods have been approved by NARA; "unscheduled" denotes disposition pending.)

3. Records already transferred to centers are subject to recall and reuse. Quick and reliable reference service can be provided within 24 hours after receipt of a request by submitting a National Archives Optional Form 11, Reference Request through the command's records coordinator. The requester may ask for a designated file, per the box list, or an entire box from the accession.

4. Unscheduled records may be accepted for storage by the records center, but efforts should be made to prepare an SF 115, Request for Records Disposition Authority as quickly as possible. (See Chapter 1, C3c.)

B. Selecting and Preparing Records for Transfer

1. File custodians should survey their files each year and set aside the inactive records eligible for transfer. Send only subject files with at least two years' disposition remaining. A minimum of one cubic foot (1 box) is required to initiate the transfer. Do

not send non-records to a records center. (See Non-Record listing, Chapter 1, paragraph E.2) Records of different series and different disposal dates shall not be placed in the same box. Under no circumstances, should permanent records be placed in the same box with temporary records.

2. You may obtain standard record shipping boxes from the General Services Administration (GSA) at 1-800-488-3111. Cite the following regarding the styles of record boxes.

Federal Stock No.	Description	Unit of Issue
8115-00-117-8249 Box, Record (Standard) must be sealed at bottom	14-3/4 X 12X9-1/2	25 per bundle
8115-00-117-8347 Box, Computer or Magnetic Tape	14-3/4 X 11-3/4 X 11-3/4	25 per bundle

Note: Coordinate the use of odd size containers with records centers in advance due to shelving limitations.

C. Preparing the SF-135, Records Transmittal and Receipt

Prepare an original and two copies of the SF-135.

Block 1 "To" Type the parcel mailing address of the appropriate records center.

Block 2 "Agency Transfer Authorization" This is for the signature of the individual having overall responsibility for records disposition of the unit transferring the records.

Block 3 "Agency Contact" Type the name, office and telephone number of the person in the office transferring the records.

Block 4 "Records Center Receipt" Leave blank. This block will be completed by the center.

Block 5 "From" Enter the name and complete mailing address of the office transferring the records. The signed receipt of this form will be sent to this address.

Block 6	"Records Data" This block contains the information necessary for the center to identify, approve and service records while they are in storage. A separate SF-135 is required for each individual record series having the same disposition authority and disposition date (36 CFR 1228.160(e)).
Block 6a	"RG" meaning "Record Group" Number. Coast Guard's RG is "26."
Block 6b	"FY" - - the last two digits of the current Fiscal Year.
Block 6c	For all record centers except the Washington National Records Center (WNRC), the four digit sequential number will be entered by the center after receipt of the SF-135. For records retired to WNRC, the Records Coordinator will enter the four digit sequential number.
Block 6d	"Volume" Enter the volume in cubic feet of each series of records being transferred.
Block 6e	"Agency Box Numbers" indicate the number of boxes in each series of records being transferred. Prior to shipment, mark with black felt marker the assigned accession number in the upper left hand corner of the front of each box. The boxes are numbered sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with box number 1.)
Block 6f	"Series Descriptions" Describe the records in sufficient detail to allow the center to check for proper application of the schedule. The description from the records schedule to be applied will usually suffice. Include the date span of the records.
Block 6g	Indicate any applicable restrictions to be placed on using the records. The reverse side of the SF-135 lists the codes to use and their explanations. Coast Guard will control all access to their records.
Block 6h	Enter the disposition authority from Sections II. And III. of this Manual.
Block 6i	Enter the disposal date.

When preparing the SF-135, the transferring office should prepare a supplemental listing (also called a box list) of the records being transferred (on plain bond paper). This listing is an item-by-item or folder-by-folder itemization of the contents of each box. This will assist the transferring office in identifying the contents of each box and will allow faster and easier retrieval of necessary records from the center.

D. Submitting the SF-135, Records Transmittal and Receipt

Submit the original and one copy of the SF-135, Records Transmittal and Receipt, via the Records Coordinator to the appropriate records center for review and approval prior to shipment of any records. Retain a copy and the supplemental box listing as a suspense copy. The center will review the SF-135, Records Transmittal and Receipt, for completeness and to ensure correct disposition citations and dates.

Note: Per 36 CFR 1228.152 and 154, the records centers do not routinely accept transfers of unscheduled records. Agencies may request an exception by submitting a written request to the National Archives at College Park, Office of Regional Record Services (NR), Room 3600, College Park, MD 20740-6001, www.nara.gov.

E. Shipment of Records

Shipment of records should be accomplished within 90 calendar days after receipt of shipping instructions. A copy of the SF-135, Records Transmittal and Receipt, with the box list should be placed in the front of box 1 of each accession of the shipment. Each box shall be labeled on the front end with a black marking pen to indicate the following information:

"Accession Number," and "Box Number"

1. When using Coast Guard vehicles to transport large quantities of records, call the appropriate center's operations division 24 hours before delivery so that prompt unloading can take place.

2. If using commercial carriers, instruct the dispatcher to call the appropriate center's operations division 24 hours before delivery.

3. Upon receipt of the records shipment in the center, the cartons are matched against the copy of the SF-135, Records Transmittal and Receipt, submitted with the accession. The location of the accession is written in Block 6j. That copy is then signed and returned to the agency for record purposes/verification.

F. Submitting the SF 258, Agreement to Transfer Records to the National Archives of the United States.

A direct offer of permanent records must be submitted on a SF-258, Request to Transfer, Approval, and Receipt of Records to the National Archives of the United States. Permanent records transferred to the National Archives become the legal property of NARA. Submit the original and one copy with a supplemental listing to Commandant (CG-61) at least sixty days before the desired shipment date. Retain a copy in the transferring office. Commandant (CG-61) will review the SF-258, Agreement to Transfer Records to the National Archives of the United States for completeness, then forward it to NARA to determine any specified restrictions. The

subject permanent records are then transferred to NARA, with a copy of the form placed in the front of the first box, and each box numbered with a black felt marker.
Note: For SF 258's used for transferring logs, follow instructions contained in Procedures for the Preparation and Disposition of Cutter Logs, COMDTINST M3123.12 (series).

List of NARA Regional Records Services Facilities and Records Centers www.nara.gov

Regional Records Facilities/Records Centers	Headquarters Offices/States Served
NARA – Pacific Alaska Region 654 West Third Avenue Anchorage, Alaska 99501-2145 Telephone: 907-271-2443 FAX: 907-271-2442	Alaska
NARA – Northeast Region (Boston) 380 Trapelo Road Waltham, MA 02452-6399 Telephone: (781) 647-8104 Fax: (617) 647-8088	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island
NARA – Northeast Region (Pittsfield) 10 Conte Drive Pittsfield, MA 01201-8230 Telephone: (413) 445-6885 ext. 14 Fax: (413) 445-7599	Microfilm holdings for genealogy and other research and retired Federal records from agencies nationwide.
NARA – Mid Atlantic Region (Northeast Philadelphia) 14700 Townsend Road Philadelphia, PA 19154-1096 Telephone: (215) 671-9027 Fax: (215) 671-8001	Delaware and Pennsylvania
NARA – Mid Atlantic Region (Center City Philadelphia) 900 Market Street Philadelphia, PA 19107-4292 Telephone: (215) 597-3000 Fax: (215) 597-2303	Delaware, Maryland, Pennsylvania, Virginia, West Virginia
NARA – Southeast Region 1557 St. Joseph Avenue East Point, GA 30344-2593 Telephone: (404) 763-7474 Fax: (404) 763-7059	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky

NARA – Great Lakes Region (Chicago) 7358 South Pulaski Road Chicago, IL 60629-5898 Telephone: (773) 581-7816 Fax: (312) 353-1294	Illinois, Wisconsin, and Minnesota
NARA – Great Lakes Region (Dayton) 3150 Springboro Rd. Dayton, OH 45439-1883 Telephone: (937) 225-2852 Fax: (937) 225-7236	Indiana, Michigan, and Ohio
NARA – Central Plains Region 2312 East Bannister Road Kansas City, MO 64131-3011 Telephone: (816) 926-6272 Fax: (816) 926-6982	Iowa, Kansas, Missouri (except greater St. Louis area), Nebraska
NARA – Central Plains Region (Lee's Summit) 200 Space Center Drive Lee's Summit, MO 64064-1182 Telephone: (816) 478-7079 Fax: (816) 478-7625	New York, New Jersey, Puerto Rico, and Virgin Islands
NARA – Southwest Region P.O. Box 6216 501 West Felix Street, Building, 1 Fort Worth, TX 76115-3405 Mailing Address: P.O. Box 6216 Fort Worth, TX 76115-0216 Telephone: (817) 334-5525 Fax: (817) 334-5621	Texas, Oklahoma, Arkansas, and Louisiana
NARA – Rocky Mountain Region Denver Federal Facility, Building 48 W. 6th Ave. & Kipling Street Denver, CO 80225 Mailing Address: P.O. Box 25307 Denver, CO 80225-0307 Telephone: (303) 236-0804 Fax: (303) 236-9297	Colorado, Wyoming, Utah, Montana, North Dakota, South Dakota, and New Mexico

NARA –Pacific Region (Laguna Niguel) 24000 Avila Road 1st Floor – East Entrance Laguna Niguel, CA 92677-3497 Mailing Address: P.O. Box 6719 Laguna Niguel, CA 92607-6719 Telephone: (949) 360-2641 Fax: (949) 360-2624	Arizona; Clark County, Nevada; and southern California (counties of St. Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Inyo, Imperial, and San Diego)
NARA – Pacific Alaska Region (Seattle) 6125 Sand Point Way NE Seattle, WA 98115-7999 Telephone: (206) 526-6501 Fax: (206) 526-6575	Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean (except American Samoa)
NARA – National Personnel Records Center Military Personnel Records 9700 Page Boulevard St. Louis, MO 63132-5100 Telephone: (314) 538-4201 Fax: (314) 538-4175	Designated records of the Military Department and U. S. Coast Guard
NARA – National Personnel Records Center Civilian Personnel Records 111 Winnebago Street St. Louis, MO 63118-4199 Telephone: (314) 538-5761 Fax: (314) 538-5719	Personnel records of separated Federal employees; medical and pay records of Federal employee; and records of agencies in the St. Louis area (Missouri only)
NARA – Northeast Region (New York City) 201 Varick Street New York, New York 10014-4811 Telephone: 212-337-1300 Fax: 212-337-1306	New Jersey, New York, Puerto Rico, US Virgin Islands
NARA – Office of Regional Records Services College Park 8601 Adelphi Road College Park, MD 20740-6001 Telephone: (301) 713-7200 Fax: (301) 713-7205	

SECTION I

CHAPTER 3. Vital Records

A. Purpose

This Chapter sets forth policies and procedures for management of the Coast Guard Vital Records (VR) Program, as required by Executive Order 12656 and 36 CFR Part 1236, "Vital Records." This Program provides for the selection and protection of key information required in developing an agency's emergency preparedness program. Each agency is responsible for selecting and safeguarding information useful to such plan(s).

B. Definitions and Policies

Vital records are those documents essential for maintaining continuity of operations and activities during and following a national emergency, and those that protect the rights and interests of the Government and its citizens. The two categories include:

1. Emergency Operating Records (EORs). EORs are essential to achieving reconstitution during and immediately following a national emergency, including natural disasters (e.g. hurricanes and floods); conduct of civil and national defense; mobilization; and nuclear attack. These types of records include directives, manuals and documents basic to the implementation of emergency operations; delegations of authority; building plans and operations manuals for agency facilities. The key word is "ESSENTIAL." The volume of a command's/unit's EORs is small in comparison with overall unit information and is determined in concert with the Emergency Preparedness Officer. Electronic media may be sent to a designated off-site facility; however, due to possible electrical/mechanical failures, backup paper copies should also be sent.

2. Legal and Financial Rights Records. (Formerly "Rights and Interests" Records) These records are required to protect the legal and financial rights of the Government and the individuals directly affected by its activities. Examples include accounts receivable, social security, payroll, retirement, and insurance documents. Precautions must be taken which will enable the Coast Guard, in cases of emergencies, to reconstruct these records. Because some of the files of these records are voluminous and active (used daily), it may not be feasible to copy and/or remove the original ("source") records from the work sites for storage at a records center. Where this is the case, maximum precautions must be taken to protect these records at the site, including installation of sprinkler systems and temperature controls.

C. Responsibilities

Area and district commanders; commander maintenance and logistics commands, commanding officers of Headquarters units; assistant commandants for directorates, Chief Counsel, and chiefs of special staff offices at Headquarters shall:

1. Identify and inventory vital records under their purview, using the criteria set forth in paragraph B; the Contingency Preparedness Planning Manual, Volume I, Planning Doctrine and Policy, COMDTINST M3010.11 (series); and the Continuity of Operations, Policies and Planning, COMDTINST M3010.15 (series). (See Form CG-4187, Vital Records List on page I-3-3.)

2. Ensure that EORs are sent to alternate sites listed in area, district and Headquarters continuity of operations plans.

3. Ensure that any classified materials are handled in accordance with the Classified Information Management Program Manual, COMDTINST M5510.23 (series).

Department of Homeland Security U.S. Coast Guard CG-4187 (Rev. 3-03)	**VITAL RECORDS LISTING**	☐ INVENTORY ☐ SHIPMENT

OFFICE	DIVISION	OFFICE/DIVISION SYMBOL

OFFICE CODE	CLASSIFIC-ATION	ITEM IDENTIFICATION (Name, subject, form no., reports control symbol, recording medium, etc.)	MAINT.	SITE CODE
CG-62	C	Secure Telecommunications Plan (SCTP) (U) CIM 2000.5B 02/17/88	**	Your designated relocation site
CG-62	U	Telecommunications Plan CIM 2000.4A 04/20/88	**	
		(Note: These are examples of types of EORs. The list is by no means complete, or necessarily representative of any one office's records."		
		** maintain until superseded		

* MAINTENANCE (Insert opposite title of record, the applicable number(s) of the instruction(s) and/or Information below.)

PREVIOUS MATERIAL OF THIS TYPE SHOULD BE:
1. Updated by adding this material.
2. Disposed of and this substituted.
3. Returned to sender for updating.

ORIGINAL SHIPMENT
4. No previous material of this type. Add to inventory.

THIS MATERIAL SHOULD BE:
5. Retained indefinitely.
6. Amended, added to, and corrected by following shipment.
7. Stored without amendment.
8. Disposed of when superseding Item is received.
9. Disposed of after _____.

Date	SIGNATURE OF V.R. REPRESENTATIVE FOR OFFICE

PREVIOUS EDITION IS OBSOLETE

SECTION I

CHAPTER 4. Forms Management

A. Scope and Responsibilities

Forms (electronic or manual) are the backbone of most records systems; they are needed to provide accurate and current information that will be readily accessible in records systems. They are also needed to provide reliable raw data that can be used in formulating policies, making decisions and coordinating or directing operations. Forms management is a staff function that provides one of the essential methods of controlling the creation and use of records. The provisions of this Chapter affect forms approved by Commandant (CG-61) for service-wide use, and issuance of Other Government Agency forms ("OGAs"), as appropriate. Area and district commanders, commanders maintenance and logistics commands, and commanding officers of Headquarters units shall assign forms management responsibilities to an individual to oversee the production, and maintain listings of local forms. Proper management of this Program will:

1. Reduce costs through eliminating redundancies, either by consolidation or cancellation.

2. Ensure proper design, access and retrievability of information.

3. Achieve optimum savings through monitoring and automating the design and printing, while reducing storage and distribution.

4. Ensure that all applicable laws, statutes, and regulations (e.g. the Freedom of Information and Privacy Acts) are considered during development and review.

B. Definition and Identification

A form is any printed or otherwise pre-produced document in paper/electronic format containing a fixed arrangement of blank spaces, which are used to collect information (in most cases on a computer). Certain printed items such as letterhead, memorandum, post cards, tags, labels, etc., may be considered as forms for identification, control and stocking purposes. Types include:

1. Coast Guard Forms. These forms are identified by the letter "CG" before the form number and are prescribed by Commandant (CG-61) for use within two or more commands/units, or for use by the public in the conduct of Coast Guard business. When two or more forms are required for closely related functions, the capital letter A, B, C, etc., is added after the number (Example: CG-3301A).

2. Standard Forms. Standard Forms are prescribed by a federal agency, pursuant to its authority, and approved by the General Services Administration (GSA) for mandatory use.

3. Optional Forms. Optional Forms are developed for use in two or more agencies and approved by the GSA for non-mandatory use.

4. Other Government Agency (OGA) Forms. In many cases, the Coast Guard has adopted other agency forms to fulfill its operational needs, either because of participation in programs of these agencies or because to do so is expedient and economical. These forms are identified by the letters or the sponsoring agency preceding the form number.

5. Local Forms. These forms may be prescribed or approved by a field command for local, specific use, provided there is no Coast Guard form authorized for the same purpose.

C. Required Authorizations

1. Prescribing Directive. The description of the way a form is prepared, submitted, used, and its relation to the fulfilling a mission must be prescribed in a directive. It is the responsibility of the promulgating office to furnish effective instructions for its use.

2. Office of Management and Budget (OMB) Approval. For collection of information from the public, per provisions of The Paperwork Reduction Act of 1995, forms for use by any person or group other than federal employees must be specifically approved by OMB. Any such form being considered for adoption, or in use and not presently cleared through OMB, shall be reported to Commandant (CG-61).

3. Comptroller General Approval. Under the Budget and Accounting Procedures Act of 1921, agencies are required to establish and maintain systems of accounting and internal control which shall conform to the principles, standards, and related requirements prescribed by the Comptroller General. Proposed accounting forms developed for use in lieu of standard accounting forms which have been prescribed to serve as support of expenditure or collection of government funds in the accounts of disbursing or other accountable officers; and those forms relating to military pay and allowances supporting accounts of military disbursing officers will be submitted via the chain of command to Commandant (CG-61) for review, coordination and approval by the Comptroller General.

D. Analysis, Design, Automation, and Printing of Forms

1. Analysis. Forms analysis requires the examination of all aspects of its use and issuance. Originators must consider the following criteria to ensure effectiveness and cost efficiencies:

   a. Is the record (form) necessary for its intended customers?

   b. What is the most efficient way to capture real time data, considering the supplier(s) available facilities, and subsequent collection of data?

c. Is the proposed form the only source available for collecting the information? Often, the required data can be taken from other sources, such as existing forms, records, or reports, thus achieving cost savings.

d. Is a Privacy Act Statement required per the provisions of the Coast Guard Freedom of Information and Privacy Acts Manual, COMDTINST M5260.3 (series)?

2. Design/Printing. Although most Coast Guard forms are automated, initial design entails review of headings, spaces, and columns on paper to produce an effective layout ready for printing. Other factors to consider concern optimum size for filing or mailing. These steps may include offset reproduction, typesetting, presswork, collating, carbon interleaving, padding, etc. Since many of these steps are labor intensive, a reasonable amount of production time must be allowed.

E. Guidelines for Effective Forms Management

1. General. The following guidelines apply to all commands authorized to prescribe and/or produce forms.

a. The Coast Guard should not adopt and renumber other agency forms as their own if they are available from the other agency.

b. Forms may be produced as carbon inter-leaved or "No Carbon Required" paper sets when there is high volume public usage, when they are used in data processing machines, or otherwise justified as cost effective.

c. Personal names and signatures, telephone and room numbers, and other variable information shall not be printed on forms. This does not apply to form letters.

d. Colored paper and ink may be used only when they serve a functional purpose.

e. The words "DEPARTMENT OF HOMELAND SECURITY, U.S. COAST GUARD" must appear on the form's face. Those issued by a local command must have a distinguishing designation. For example: CG YARD-15, denotes a locally produced form at the Coast Guard Yard.

f. Whether it is an original edition or revision, a form must bear an edition date. If revised, there must be a note on the face stating whether previous editions may still be used or are obsolete.

g. Each form must have a brief, descriptive title denoting subject and function.

h. When a certain form is always transmitted to the same place or organizational unit, the address should be pre-printed to make it self-transmitting and eliminate the need for a transmittal letter, routing slip, etc.

i. The following additional design standards are recommended:

1) Size – To effect savings in paper costs, forms should be designed in the standard sizes shown below, choosing the smallest standard size which will accommodate the required data and yet meet mailing and filing requirements.

Standard Paper Sizes	Standard Card Sizes
8 ½ X 11	3 ½ X5
8 X 5 ½	4 ¼ X 6
8 X 3 2/3	
4 X 5 ½	
4 X 3 2/3	

Note: Post Cards may not be smaller than 3 ½ X 5", or larger than 4 ¼ X 6".

2) Box Style – Whenever possible, forms should be designed in box style, which not only conserves space but also minimizes the possibility of error in completion. Spacing size should be sufficient to accommodate various fonts used. For vertical spacing, one sixth of an inch is required for each line. An item heading should be entered in the upper left corner of each box, which should also be numbered to facilitate referencing.

3) Instructions – If the heading is not self-explanatory, include concise instructions.

F. Issuance

Since most forms are automated, only a limited number should be stocked at selected units, including offices at headquarters. The vast majority of electronic forms are available as follows:

1. On the Standard Workstation at USCG Electronic Forms;

2. On the Internet at http://www.uscg.mil/ccs/cit/cim/Forms1/welcome.htm; and.

3. On the Intranet at http://cgweb.uscg.mil/g-c/g-ccs/g-cit/g-cim/forms1/main.asp.

SECTION I

CHAPTER 5. Reports Management

A. Objectives

The objectives of the Coast Guard Reports Management Program are to provide management with information where and when it is needed, in a format that provides the greatest utility, and to furnish the information as economically and efficiently as possible. The goal of this program is to eliminate duplicative and unnecessary reporting. The Federal Reports Act of 1942 and the Paperwork Reduction Act of 1995, as amended, mandate approval of information requirements imposed on the public and coordination of clearance request submittals to the Office of Management and Budget (OMB).

B. Internal Reports Defined

1. An internal report is comprised of data or information required to be transmitted from field activities to Commandant for use in determining policy, planning, evaluating operations/performance and preparing other reports. This also includes "data calls" conducted via E-mail, which should be prescribed in an implementing directive. The data or information may be in narrative, statistical, graphic or other format.

2. Certain categories of internal reports are exempt from the requirements of the Reports Management Program. Some exempt reports include: inspection and audit reports; reports of investigation or official proceedings associated with judicial or administrative bodies; operating documents (applications, bids, bills, claims, contracts, leases, shipping orders, etc.); suggestions; classified documents; technical information associated with research projects; comments or concurrences in association with routine clearance of proposed actions; requisitions; or publications and other reports determined by Commandant to conform to the intent of the exempt report categories.

C. Administration of the Coast Guard Internal Reports Management Program

Commandant (CG-61) is responsible for administering the Reports Management Program to ensure that reporting requirements are not imposed on field activities unless the data requested are necessary to the function of the requesting Headquarters office. Data obtained from reports must be adequate for the purpose for which used, provide accurate and timely information, and justify the cost of preparation. Instructions for report preparation must be concise and up-to-date, and units requested to prepare reports must be the best source of data. (Note: Headquarters staff should refer to Headquarters specific guidance in Chapter 6. of this Section.)

1. Reports Control Number. A Reports Control Number (RCN) is assigned to each approved report required for submission to Commandant on a recurring basis. All directives and correspondence from Headquarters requesting information from field units,

not exempt in B.2. above, must have a RCN to indicate that Commandant (CG-61) has approved the information requirement. The assignment of the RCN is based on the Standard Subject Identification Codes (SSICs). Thus, the RCN correlates with its prescribing directive and to any forms that may by involved in their submission. All submitted reports shall bear the control number as follows:

a. Letter and Message Report. The letters RCN and the appropriate reports control number, in parentheses after the subject, e.g.: Subj: Child/Spouse Incident Report (RCN # 1750-1).

b. E-mail data calls. The RCN will be the SSIC from the prescribing directive.

c. Form Report. The RCN will appear in the upper right corner of the form.

2. Listing of Approved Reports.

a. Reports required to be submitted to Commandant, which have been assigned a RCN, are listed in the Directives, Publications and Reports Index (DPRI), COMDTNOTE 5600. Following the RCN are: the title of the report; the form number or other method of submission (letter, prescribed format, message, etc.), the requiring directive or publication, preparing activities and frequency of submission.

Note: As directives are reissued, existing RCS numbers will be converted to RCN numbers.

b. Reissued reports during the six-month period prior to promulgation of the cumulative edition of the Directives, Publications and Reports Index (DPRI), COMDTNOTE 5600, are also listed. This does not constitute authority to discontinue submission of any report; in all cases, the implementing directive is the authority requiring submission and will be complied with until revised or canceled.

c. To ensure the accurate and timely submission of reports, each Coast Guard unit should maintain a tickler file or reports calendar for all reports required by the Commandant. This file may be expanded to include feeder reports and any other reporting requirements established on a recurring basis.

D. Public Use Reporting and Recordkeeping Requirements

Federal agencies are prohibited from conducting or sponsoring the collection or maintenance of information from ten or more persons (other than federal employees) without prior specific approval from OMB. Commandant (CG-61) is responsible for submitting all plans for such reporting requirements proposed by the Coast Guard to OMB. Action by responsible Coast Guard officials is required as follows:

1. Area and district commanders, commanders maintenance and logistics commands, commanding officers of Headquarters units, and assistant commandants for directorates, Chief Counsel, and chiefs of special staff offices at Headquarters shall ensure that no reporting or recordkeeping requirements are imposed on the public which have not been approved and assigned an OMB approval number. Plans for collection of information from the public shall be forwarded from the field command through the appropriate responsible program office at Headquarters, who shall provide the following to Commandant (CG-61) with samples of proposed forms or other material to be cleared, including:

    a. A description of the situation which makes collection of the information necessary with an explanation of how the data will be used and by whom;

    b. The number and type of individuals (or organizations) to be contacted;

    c. Frequency of use, i.e., annual, quarterly, one time, on occasion, etc. If collection is on a regular repetitive basis, explain the need for frequency of collection; if one time, indicate when collection will begin and end;

    d. The reported method, i.e., mail, personal interview, or other;

    e. The estimated time (burden hours) it will require for a respondent to supply information; and

    f. Names of individuals, groups, or organizations outside the Coast Guard with whom the responsible Coast Guard office had consulted concerning the particular information requirement they are proposing.

2. Commandant (CG-61) will review all plans that require reporting of recordkeeping from the public and will assist the responsible office at Headquarters in preparing and submitting the request for OMB approval. All reporting and recordkeeping requirements levied on the public must be initiated through the appropriate Headquarters office and may not be levied by field activities independent of Headquarters. Additionally, these proposals must be planned or budgeted in advance of implementing the annual Coast Guard Information Collection Budget (ICB), which is prepared and submitted annually. Originators of requests for OMB approval will be notified by Commandant (CG-61) of the date/approval number and date of expiration. Additional information, instructions and/or restrictions pertinent to implementing the reporting requirement will be included as needed.

SECTION I

CHAPTER 6. Headquarters Specific Procedures/Responsibilities

PART I – RECORDS

A. Records Coordinators

As stated in I.1-2, paragraph C., Records Coordinators (RCs) at Headquarters serve as the liaison between their office and the Headquarters Support Command (HSC). Whenever staff in offices wish to send/retrieve records from the Washington National Records Center (WNRC), Suitland, MD, they should deal directly with the central HSC Records Coordinator to submit requisite forms as outlined in B. below.

B. Headquarters Support Command (HSC)

The Headquarters Support Command is the focal point for record transactions in the Washington DC area. The main Records Coordinator at the HSC shall work with offices to assist as follows:

1. Any office wishing to send records to the WNRC shall submit a Standard Form 135, Records Transmittal and Receipt to the central RC at HSC (See Section I, Chapter 2 for details on the form). The HSC RC will submit this form with accompanying box lists to the records center for approval/ assignment of accession numbers, and assist with pickup arrangements.

2. Any office wishing to retrieve records from the WNRC shall submit a National Archives Optional Form 11, Reference Request to the central RC at HSC, who will assist with delivery of subject records.

C. Headquarters Support Command (HSC) as Central Repository for Headquarters

The HSC shall maintain all completed transactions recorded on the SF-135, Records Transmittal and Receipts and National Archives Optional Form 11, Reference Requests, for future reference. This information will assist office RCs in searching for Coast Guard (CG) records to respond to Freedom of Information Act (FOIA) requests, congressional and other inquiries.

D. Headquarters Support Command (HSC) for Coordination of Quarterly National Archives Form NA 13001, Notice of Eligibility for Disposal

Quarterly the HSC Records Coordinator will contact appropriate program managers regarding any of their scheduled records due for destruction. It is essential that owners of records have an opportunity to indicate if subject records might be required for impending litigation or some

other need. Even if records have met their specified retention periods, they cannot be destroyed without the concurrence of the program manager having legal custody of the records.

Note: Office RCs must ensure that program managers in their office respond to HSC on this form, stating whether or not they concur with the destruction of the records. For concurrence, sign and date the notice and return it to HSC, who will forward it to WNRC. The SF-135, Records Transmittal and Receipt should be annotated to show the records may be destroyed.

PART II – FORMS

A. Responsibilities of Commandant

Commandant (CG-61) promulgates forms management policy, provides guidance to field commands/units, and manages the overall Forms Program. The functions performed are:

1. Review all forms for approval proposed for Coast Guard use in accordance with principles outlined in this Manual;

2. Ensure that each form is supported by a directive, which sets forth instructions for obtaining, preparing, and submitting the form;

3. Establish and maintain historical, alphanumeric, and functional files of all approved forms.

4. Implement General Services Administration (GSA), Department of Homeland Security (DHS), Government Printing Office (GPO) and Office of Management and Budget (OMB) standards and guidelines for developing and approving forms. Further, this encompasses application for approval of the Comptroller General or OMB for certain forms used by the Coast Guard per appropriate regulations.

   Note: Forms used by the public must be approved by OMB and will display an "OMB approved No." e.g. 1625-0000, the estimated "burden hours," and the expiration date.

5. Automate forms implemented by Commandant and used both at Headquarters and Coast Guard-wide.

B. Responsibilities of Headquarters Personnel

Headquarters offices ordering/changing a form shall:

1. Submit a signed Form CGHQ-3342, Form/Report Information Authorization Record to Commandant (CG-61).

2. Ensure that a Commandant directive prescribes the use and availability of the form.

3. Submit a DOT F-1700.3, Publications and Distribution Request Form where printed forms are required.

4. Submit a DOT F-1710.2A, Request for Graphic Services if graphics work is required, e.g. certificates, posters, etc. (for paper forms only).

5. Transfer funds to Commandant (CG-61) to automate new or revised forms.

6. If necessary, provide the initial two-year supply of paper forms to Engineering Logistics Center (ELC) Baltimore.

PART III – INTERNAL AGENCY REPORTS

A. Scope and Responsibilities

Commandant (CG-61) is responsible for overseeing the Internal Reports Management Program, which encompasses recurring reports, including data calls, submitted to Commandant from field commands/units. The updated listings of the reports with details covering prescribing directives, forms and frequency of submissions are listed in the Directives, Publications, and Reports Index (DPRI), COMDTNOTE 5600. This Notice is available on the Standard Workstation, Intranet at http://cgweb.uscg.mil/g-c/g-ccs/g-cit/g-cim/directives/welcome.htm, and the Internet at http://www.uscg.mil/ccs/cit/cim/directives/welcome.htm. Assistant commandants for directorates, Chief Counsel, and chiefs of special staff offices at Headquarters shall follow requirements outlined below, except for exempt reports, which are listed in paragraph B. The primary objective of this Program is to ensure that only needed information is collected from field activities in the least burdensome manner, while meeting legal requirements and program objectives. Commandant (CG-61) will review and analyze new and revised reporting requirements, including e-reporting, to ensure that duplicative reports are not being required and that the field is not being burdened with data calls.

1. Application for Report. The initiating office shall submit to Commandant (CG-61) Form CGHQ-3342, Form/Report Information and Authorization Record, with required documentation.

2. Validation Statement. A validation statement is needed for those internal reports required more frequently than semi-annually. This statement should:

   a. Verify the continued need.

   b. Explain why the report cannot be required less frequently.

   c. Identify the prescribing directive. (Attach an up-to-date copy of the transmittal letter and the manual's pages prescribing the report.)

3. Testing Reporting Requirements. When a reporting requirement is deemed questionable, a pilot study may be required to determine whether the data is truly needed.

4. Requiring Directive. A directive shall be issued for any reporting requirement levied on field activities.

5. All approved reports submitted to the Commandant (CG-61) shall bear the reports control number as follows:

   a. Letter and Message Report. Type the letters "RCN" and the appropriate SSIC in parentheses after the subject, as: "Subj: Report of Radio Interference (RCN-2000-1)."

   b. Form Report. The RCN will appear in the upper right corner of the form.

   c. One-Time Report. The RCN is followed by the letters "O/T."

6. Expiration Date. All recurring reports will be assigned an expiration date not to exceed four years. If the report subsequently needs an extension, submit Form CGHQ-3342, Form/Report Information Authorization Record to Commandant (CG-61) for review no later than the date shown on the CGHQ-5149, Notification of Expiring Report . Any reports not renewed will expire, and the requesting Headquarters directorate will no longer be authorized to collect the information.

7. Reporting Vehicles. Requests for negative reports must be evaluated, justified, and approved through the clearance process since they require resource expenditures by field units. Initiators should require negative reports only when it is imperative that the field acknowledge a request, or confirm receipt of a transmittal.

   a. Telephone Reports. Accept telephone reports when practical, especially in the case of negative responses.

   b. Telecommunications Reports. Minimize requirements for reports sent by message (telecommunications) to avoid overloading the telecommunications system.

8. Report Cancellation. Advise Commandant (CG-61) when a report is discontinued by submitting Form CGHQ-3342, Form/Report Information Authorization Record.

B. Exempt Reports

The following types of reports are exempt from the requirements of the Internal Coast Guard Reports Program:

1. Internal reports required within the initiating office.

2. Intelligence reports governing only those matters submitted to official intelligence activities.

3. Reports of inspection and actions taken, based on recommendations made therefrom.

4. Official reports of survey or investigation by administrative bodies appointed for that purpose.

5. Formal reports of official proceedings of formally constituted judicial or administrative bodies appointed for that purpose.

6. Formal reports of findings, recommendations or actions prepared by special committees or boards appointed to inquire into a report on a particular matter. However, reports initiated by such committees or boards to obtain data required for their work or resulting from their recommendations are not exempt under this provision.

7. Reports of investigating officers regarding marine casualties.

8. Comments and concurrence that are part of the routine clearance of proposed actions, requisitions, or publications.

9. Technical reports submitted for short periods only in connection with testing and development of projects or pertaining to the operation of newly installed equipment or systems.

10. One-time recommendations, suggestions, or evaluations of plans, policies or procedures, and official employee suggestions.

11. Replies to requests for suggested meeting agenda.

12. The annual budget estimate or request for funds required by law. The exemption does not include periodic collections of data used to develop or supplement budget estimates or fund requests.

13. The following operating documents:

Affidavits	Liens
Agreements	Manifests
Applications or Requests	Payrolls
Authorizations	Performance Bonds
Bids	Permits
Bills/Vouchers	Receipts
Certifications	Receiving and Inspection Forms
Claims	Requisitions
Contracts and Initial Allied Papers	Sales

Depositions	Shipping Orders
Guarantees	Specifications
Leases	Statements of Witnesses

The above exemptions cover only the actual operating documents. Reports concerning progress in preparing, numbers processed, etc., are not exempt.

14. One-time reports requested from only one preparing activity requiring relatively few staff-hours in compilation, e.g., a report from one district office.

15. Explanations of the significance or validity of data received in another report.

16. A report not specifically identified above which, based on Commandant (CG-61's) determination, conforms to the intent of the exempt reports categories, e.g., routine personnel and administrative matters.

17. Security classified material or information.

SECTION II

Chapters 1 – 13, 16

Records owners/users are authorized to transfer inactive/closed records to a Records Center citing Job Number NC-26-76 or NC-26-80, unless otherwise specified.

CHAPTER 1

MILITARY PERSONNEL

SSIC 1000 - 1999

The records described in this Chapter pertain to the planning, supervision and administration of human resource programs for the military (U.S. Coast Guard and Reserve), including: recruiting; classification; assignment; promotion; training; performance; discipline; and retirement, separation, and morale activities. See also Chapters 7 and 16.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below shall not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An outstanding claim for or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

SSIC 1000 GENERAL MILITARY PERSONNEL RECORDS

ITEM NO.	SSIC 1000 GENERAL MILITARY PERSONNEL RECORDS	AUTHORIZED DISPOSITION
1	Records created by the Office of Personnel documenting organizational development and administration of the Office of Personnel consisting of the following: (supersedes HQINST M5212.6A, para. 541).	
	a. Official record copy of each directive/publication issued with significant background material. (supersedes HQINST M5212.6A, para. 541a).	Permanent. Transfer to FRC when 5 years old. Transfer to National Archives and Records Service (NARA) when 20 years old. (NC1-26-76-2), item 541a
	b. Studies/Surveys conducted by the Office of Military Personnel (supersedes HQINST M5212.6A, para. 541b).	
	(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs. (supersedes HQINST M5212.6A, para. 541 (b) (1))	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority. (supersedes HQINST M5212.6A, para 541 b(1)(a)).	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 541b(1)(a)
	(b) Which are not forwarded to higher authority or published by the higher authority. (supersedes HQINST M5212.6A, para. 541b(1)(b).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2), item 541(1)(b)
	(2) Studies/Survey which did not result in Coast Guard wide adoption of policy or management programs. (supersedes HQINST M5212.6A, para. 541b(2))	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 541b(2)
2	General administrative correspondence (excluding primary records above, (covering personnel administrative activities. (supersedes HQINST M5212.6A, para. 542)	Destroy when 10 years old. (NC1-26-76-2), item 542

3	Routine correspondence of an administrative or housekeeping nature. (supersedes HQINST M5212.6A, para. 543).	Destroy when 3 years old. (NC1-26-76-2), item 543
4	Correspondence documenting personnel action on appointment, promotion, retirement, etc. (supersedes HQINST M5212.6A, para. 558).	Destroy when 5 years old. (NC1-26-76-2), item 558
5	Correspondence files with the public on officer procurement. (supersedes HQINST M5212.6A, para. 586).	Destroy when 1 year old. (NC1-26-76-2), item 586
6	Records pertaining to the administration of the Permanent Uniform Board and maintenance regulations. (supersedes HQINST M5212.6A, para. 546).	Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 546
7	Records created in receipt and processing of complaints of discrimination by military members. Military members case files and all background documents pertaining to the case. (supersedes HQINST M5212.6A, para. 325b)	Destroy 4 years after final adjustment of the case. (NC1-26-76-2), item 325b

ITEM NO.	SSIC 1070 PERSONNEL RECORDS	AUTHORIZED DISPOSITION
1	USCG Military Personnel Records: Files consist of the Official Officer Service Records, Enlisted Personnel Records, Military Personnel Health Records, and Official Coast Guard Reserve Service Records. These Official Personnel Files (OPFs) include records pertaining to the recruitment, training, administration, assignment, health and disposition of military personnel. (supersedes HQINST M5212.6A, para. 547 and COMDTINST M5212.12, para. 335a/b)	Permanent. Transfer folder to National Personnel Records Center (NPRC), 9700 Page Boulevard, St. Louis, MO 63132 6 months after separation. Transfer to NARA 75 years after separation. (NC1-26-80-4), items 547 and 335a/b. **Reappraisal pending.**
2	Claims files of correspondence and related papers pertaining to decedent affairs of deceased military and former Lighthouse Service personnel. (supersedes HQINST M5212.6A, para. 571).	Destroy 5 years after death of member or death of survivor receiving Retired Serviceman's Family Annuity. (NC1-26-76-2), item 571

3	Claims files of correspondence and related papers on military personnel reimbursement claims. (supersedes HQINST M5212.6A, para. 572).	Destroy 5 years after date of claim. (NC1-26-76-2), item 572
4	Card file containing summaries of claims processed. (supersedes HQINST M5212.6A, para. 573).	Destroy when disestablished. (NC1-26-76-2), item 573
5	Records of Identification Cards issued, (CG-3133) (Military). (supersedes HQINST M5212.6A, para. 551).	Destroy when 6 years old. (NC1-26-76-2), item 551
6	Identification cards for military dependents and dependents with related Application Forms (CG 4011 and DD 1172). (supersedes HQINST M5212.6A, para. 550).	Destroy "turned-in" ID cards upon issue of new card. File Forms DD 1172 in military personnel files and dependent's case file. (NC1-26-76-2), item 550
7	Personnel rosters showing location and status of military personnel at Coast Guard units.	
	a. Personnel Management Information System (PMIS) source documents and rosters created subsequent to 1 October 1974. (supersedes HQINST M5212.6A, para. 548a and COMDTINST M5212.12, para. 336a)	Destroy 5 years after run date. Transfer to FRC 1 year after run date. (NC1-26-76-2), items 548a and 336a
	b. Rosters created prior to 1 October 1974 ("Muster Rolls"). (supersedes HQINST M5212.6A, para. 548b).	Destroy when 50 years old. (NC1-26-84-2), item 548b
	c. Roster card file giving names, Social Security Numbers, rates and expiration dates of enlistment. (supersedes COMDTINST M5212.12, para. 336d).	Destroy after separation or transfer from district. (NC1-26-80-4), item 336d
	d. Unit Attendance Records for all Organized Reserve Training Units and Inter-service units. (supersedes COMDTINST M5212.12, para. 336b).	Destroy when 5 years old. (NC1-26-80-4), item 336b
	e. Data listing file--Reserve personnel who have been transferred from the district or discharged. (supersedes COMDTINST M5212.12, para. 336c).	Destroy 1 year after transfer or discharge. (NC1-26-80-4), item 336c

8	Case, subject, planning and control and legislative history files on military and civilian personnel security boards, programs, policies and procedures. (supersedes HQINST M5212.6A, para. 579).	Destroy 20 years after obsolescence. (NC1-26-76-2), item 579
9	Significant and substantive information in individual civilian and military personnel security files. (supersedes HQINST M5212.6A, para. 580).	Destroy 5 years after termination of employment or retirement, except dispose of investigating and non-significant information per program office guidance. (NC1-26-76-2), item 580
10	Records and related correspondence relative to the Reserves Awards Program. (supersedes HQINST M5212.6A, para. 557).	Destroy when 5 years old. (NC1-26-76-2), item 557
11	Inactive Duty Reserve Program. Station Personnel Requirements and Ceilings. (supersedes COMDTINST M5212.12, para. 342a and b).	
	a. Card summaries of station requirements reflecting name of station, personnel strength, and ceiling requirements. (supersedes COMDTINST M5212.12, para. 342a).	Maintain at district office as an active working file. (NC1-26-80-4), item 342a
	b. Personnel Action Transmittal File. (Unit copy of PMIS Transmittal set). (supersedes COMDTINST M5212.12, para. 342b).	Destroy when 3 months old, or for vessels on extended cruises, destroy 3 months after return to homeport. (NC1-26-80-4), item 342b
12	Personnel Rosters. Copies of monthly machine prepared listings of reserve personnel reflecting the name, grade or rating, and pertinent data. (supersedes COMDTINST M5212.12, para. 343).	Destroy when 1 year old. (NC1-26-80-4), item 343

ITEM NO.	SSIC 1080 PERSONNEL ACCOUNTING	AUTHORIZED DISPOSITION
1	Studies, estimates, reports and related material on the administration of funds. (supersedes HQINST M5212.6A, para. 544).	Destroy when 10 years old. (NC1-26-76-2), item 544

2	Payroll and point listings. (supersedes COMDTINST M5212.12, para. 336e).	Destroy when 2 years old. (NC1-26-80-4), item 336e

ITEM NO.	SSIC 1100 RECRUITING	AUTHORIZED DISPOSITION
1	Officer candidate file containing copies of applications for appointment in the Coast Guard, interview reports, medical examination reports and related papers. (supersedes HQINST M5212.6A, para. 583).	a. Selected Applicants, file in Official Personnel Folder. (NC1-26-76-2), item 583a b. Non-selected Applicants, destroy 6 months after deadline dates for class which application is made. (NC1-26-76-2), item 583b
2	Direct Commission Programs, Application Files containing copies of applications for appointment in the Coast Guard, interview reports, and related papers (supersedes HQINST M5212.6A, para. 584).	a. Selected Applicants, file in Official Personnel Folder. (NC1-26-79-2), item 584a b. Non-selected Applicants, destroy 1 year from date of board by which considered. (NC1-26-79-2), item 584b
3	Individual Personnel Applicant Records. (supersedes COMDTINST M5212.12, para. 337a-b)	
	a. Recruiting office jackets of successful and unsuccessful applicants for enlistment in the Coast Guard containing copies of the following: applicant's physical and mental tests, character references, police and school reports, consent papers, enlistment contracts, pay order assignments, designations of beneficiary, and related correspondence. (supersedes COMDTINST M5212.12, para. 337a)	Destroy 1 year after enlistment or rejection. (NC1-26-80-4), item 337a
	b. OCS and direct commission applicant files containing copies of applications for appointment in the Coast Guard Reserve, interview reports, medical examination reports, findings of examining boards and related papers. (supersedes COMDTINST M5212.12, para. 337b)	Destroy when 1 year old. (NC1-26-80-4), item 337b

4	General information files with the recruiting and enlistment. (supersedes HQINST M5212.6A, para. 587).	Destroy when 2 years old. (NC1-26-76-2), item 587
5	Periodic reports of enlistments received from districts. (supersedes HQINST M5212.6A, para. 588).	Destroy when 3 years old. (NC1-26-76-2), item 588

ITEM NO.	SSIC 1230 TESTING AND INTERVIEWING	AUTHORIZED DISPOSITION
1	Servicewide examination results with supporting documentation for career advancement. (supersedes HQINST M5212.6A, para. 553).	Destroy when 25 years old. Transfer to FRC when 5 years old. Destroy CG Reserve (inactive) results when 2 years old. (NC1-26-76-2), item 553
2	Reports and forms used by examiners in accounting for examination books or certifying that examinations were given in accordance with instructions. (supersedes HQINST M5212.6A, para. 589).	Destroy when 3 years old. (NC1-26-76-2), item 589

ITEM NO.	SSIC 1300 ASSIGNMENT AND DISTRIBUTION	AUTHORIZED DISPOSITION
1	Enlisted Transfer Orders. (supersedes HQINST M5212.6A, para. 555).	Destroy when 5 years old or earlier if needs have been met. (NC1-26-76-2), item 555

ITEM NO.	SSIC 1400 PROMOTION AND ADVANCEMENT	AUTHORIZED DISPOSITION
1	Proceeding of officer personnel boards for promotion/demotion with related papers. (supersedes HQINST M5212.6A, para. 545).	Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 545
2	Original eligibility lists and authorizations for advancement in rating and proficiency pay. (supersedes HQINST M5212.6A, para. 552).	Destroy when 25 years old. Transfer to FRC when 5 years old. (NC1-26-76-2), item 552

ITEM NO.	SSIC 1500 TRAINING AND EDUCATION	AUTHORIZED DISPOSITION
1	Training, course and related materials (case files), including Volunteer Training Unit and Aviation Training records. (supersedes HQINST M5212.6A, para. 559).	Destroy when 5 years old. (NC1-26-76-2), item 559
2	Request for end -of-course examination. (supersedes HQINST M5212.6A, para. 560).	Destroy when 1 year old. (NC1-26-76-2), item 560
3	School and training files containing correspondence, reports and related papers on Coast Guard and Navy schools, the Institute, training aids and courses. (supersedes HQINST M5212.6A, para. 561).	Destroy when 5 years old. (NC1-26-76-2), item 561
4	Individual applications for postgraduate, petty officer and other refresher or short courses (supersedes HQINST M5212.6A, para. 562).	Transfer to service record on non-selection or completion of training. (NC1-26-76-2), item 562
5	Officer Educational Record. (CG-4082). (supersedes HQINST M5212. 6A, para. 565).	File originals in service record. Destroy office copy when 2 years old. (NC1-26-76-2), item 565
6	Requests for procurement of materials and services for officer and enlisted training and procurement. (supersedes HQINST M5212.6A, para. 566).	Destroy after 2 years for off-duty training; 5 years for full-time resident training; 3 years for personnel procurement requirements. (NC1-26-76-2), item 566
7	Conformed copies of Navy Post Graduate School Contracts. (supersedes HQINST M5212.6A, para. 567).	Destroy after 3 years if utilized by Coast Guard; end of (FY) for others. (NC1-26-76-2), item 567
8	SF-1080 copies with supporting papers covering reimbursements for all types of aviation training. Also, copies of requests for reimbursement for monies expended for required tests, copies of university invoices for books, supplies, and approval correspondence, etc. (supersedes HQINST M5212.6A, para. 568 and 569).	Destroy when 3 years old. (NC1-26-76-2), items 568 and item 569

9	Recruit training record card. (supersedes COMDTINST M5212.12, para. 338b).	Destroy when 1 year old. (NC1-26-80-4), item 338b
10	Trainee index cards containing name, rate, service number, date training started, date training ended, class number, class standing, grades, and final average. (supersedes COMDTINST M5212.12, para. 338c).	Destroy when 5 years old. (NC1-26-80-4), item 338c
11	Class folders containing information on student's personal and service history, name, number, rate, class marks, class standing upon graduation, district to which transferred and conduct. (supersedes COMDTINST M5212.12, para. 338d).	Destroy 1 year after class ends. (NC1-26-80-4), item 338d
12	Muster card file containing a history of individual's service while assigned to the training activity. (supersedes COMDTINST M5212.12, para. 338e).	Destroy 1 year after transfer or discharge. (NC1-26-80-4), item 338e
13	Training procedures file for wartime radio school containing information and prototype material necessary to establish a radio training program for war periods. (supersedes COMDTINST M5212.12, para. 338f).	Destroy when superseded or obsolete. (NC1-26-80-4), item 338f
14	Copies of the following held at training centers: Proceedings of Physical Evaluation Boards, Formal/Informal Boards of Investigation, Recruit Evaluation Boards, etc. (supersedes COMDTINST M5212.12, para. 338g).	Destroy when 3 years old. (NC1-26-80-4), item 338g
15	Coast Guard Institute Master Enrollment Card, containing a record of courses taken, grades received, and related information. (supersedes COMDTINST M5212.12, para. 338h).	Destroy 5 years after inactivity. (NC1-26-80-4), item 338h
16	Coast Guard Institute student record for a particular course. (supersedes COMDTINST M5212.12, para. 338i).	Destroy 3 years after disenrollment or 6 months after satisfactory completion when the master has been updated. (NC1-26-80-4), item 338i

17	Test Answer Sheets	
	a. Completed Coast Guard Selection Test (CGST), including Short Basic Test Battery (SBTB) answer sheets sent to Coast Guard Institute by Recruiting Offices, Training Centers and other Special Testing Units. (supersedes COMDTINST M5212.12, para. 338j(1)).	Destroy when 2 years old. (NC1-26-80-4), item 338j(1)
	b. Basic Testing Battery (BTB) answer sheets completed by personnel in the Coast Guard or by individuals applying for enlistment into the Coast Guard. (supersedes COMDTINST M5212.12, para. 338j(2)).	Destroy when 2 years old. (NC1-26-80-4), item 338j(2)

ITEM NO.	SSIC 1531 COAST GUARD ACADEMY	
1	Records of Board of Visitors to the Coast Guard Academy. (supersedes HQINST M5212.6A, para. 563).	Permanent. Transfer to NARA when 20 years old. (NC1-26-76-2), item 563
2	Records of Coast Guard Advisory Committee to the Academy consisting of minutes, correspondence, reports, lists of personnel and related materials. (supersedes HQINST M5212.6A, para. 564.	Permanent. Transfer to NARA when 20 years old. (NC1-26-76-2), item 564
3	Speeches of the Superintendent. Records of speeches given by the Superintendent of the Coast Guard Academy to Academy ceremonies and functions, as well as other civic and professional organizations. Included are: Change of Command Podium books, and Change of Command Programs along with the speech given by the incoming Superintendent. Arrangement: chronological order thereunder by subject.	Permanent. Cutoff files annually. Transfer to the FRC when 8 years old. (N1-26-94-1)
4	Superintendent's Correspondence. Includes correspondence to Congress, appeals, letters of appreciation, appointments and recommendations, and notification of cadet status. Arrangement: Subject, thereunder chronologically.	Permanent. Cutoff files annually. Transfer to FRC when 8 years old. (N1-26-94-1)

5	Congressional Board of Visitors. File containing the agenda, names of visiting party, assignment, general correspondence and related papers. (superseded COMDTINST M5212.12, para. 358).	Permanent. Transfer to NARA when 30 years old in 5 year blocks. (NC1-26-80-4), item 358
6	Committee and Board Meeting Records. (supersedes COMDTINST M5212.12, para. 364.	
	a. Executive Board proceedings and related papers. (supersedes COMDTINST M5212.12, para. 364a).	Destroy when 5 years old. (NC1-26-80-4), item 364a
	b. Advisory Committee file containing summaries of meetings, minutes, recommendations, attendance, and related papers. (supersedes COMDTINST M5212.12, para. 364b).	Permanent. Transfer to NARA when 30 years old in 5 year blocks. (NC1-26-80-4), item 364b
	c. All other copies. (supersedes COMDTINST M5212.12, para. 364c).	Destroy when Academy historical research or educational values are exhausted or when no longer needed for historical, educational or administrative purposes. (NC1-26-80-4), item 364c
	d. Records of Academic Board meetings containing testimony evidence, convening orders, correspondence, and related papers. (supersedes COMDTINST M5212.12, para. 364d).	Destroy when 5 years old. (NC1-26-80-4), item 364d
7	Administrative correspondence for routine administrative management or housekeeping purposes. Close files annually and bring policy and procedure material forward to new file. (supersedes COMDTINST M5212.12, para. 357).	Destroy when 3 years old. (NC1-26-80-4), item 357
8	Administrative Issuances. (supersedes COMDTINST M5212.12, para. 355).	
	a. Record copy of case file relating to the development and control of Academy material having precedential significance which shows basic procedures for the Academy. (supersedes COMDTINST M5212.12, para. 355a).	Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 30 years old in 5 year blocks. (NC1-26-80-4), item 355a

	b. Academy instructional issuances having short-term effect and value. (supersedes COMDTINST M5212.12, para. 355b).	Destroy 5 years after superseded or obsolete. (NC1-26-80-4), item 355b
	c. Notices, indexes, table of contents and similar material not part of an issuance case file. (supersedes COMDTINST M5212.12, para. 355c)	Destroy 2 years after superseded or obsolete. (NC1-26-80-4), item 355c
9	Directives and Publications. (supersedes COMDTINST M5212.12, para. 356a-e).	
	a. Directives. Record copy of case files relating to the development and control of the Academy. Administrative directives and other written policy and background material having precedential significance concerned with formal policy formulation, organization, procedures and operation. Includes revision to instruction or historical material relating to interpretation, and clarification of instructions. (supersedes COMDTINST M5212.12, para. 356a).	Permanent. Transfer to FCR when 10 years old. Transfer to NARA when 30 years old in 5 year blocks. (NC1-26-80-4), item 356a
	b. Academy instructional directives having short-term effect and value. (supersedes COMDTINST M5212.12, para. 356b).	Destroy 5 years after superseded or obsolete. (NC1-26-80-4), item 356b
	c. Checklists, announcements, indexes and other material not made part of a directive case file. (supersedes COMDTINST M5212.12, para. 356c).	Destroy 2 years after superseded or obsolete. (NC1-26-80-4), item 356c
	d. Substantive publications describing the history, overall administrative and general policy and major Academy programs. (supersedes COMDTINST M5212.12, para. 356d).	Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 30 years old in 5 year blocks. (NC1-26-80-4), item 356d
	e. All other publications including those relating to routine operational procedures, brochures, public information and similar publications. (supersedes COMDTINST M5212.12, para. 356e).	Destroy when superseded or obsolete. (NC1-26-80-4), item 356e
10	Cadet Personnel Folders containing grades, letter of appointment, and other papers relating to the Academy. (supersedes COMDTINST M5212.12, para. 359).	Permanent. Transfer to FRC 5 years after separation of cadet. Transfer to NARA when 30 years old in 5 year blocks. (NC1-26-80-4), item 359

11	Cadet Grades. EAM printed tabulation of grades: (monthly, term, re-exam, etc.). (supersedes COMDTINST M5212.12, para. 370).	Destroy after posting to "Abstract of Grades" form which is filed in Cadet Personnel folder. If posting not required, destroy 1 year after class graduates. (NC1-26-80-4), item 370
12	Cadet Conduct Records. (supersedes COMDTINST M5212.12, para. 360a-f).	
	a. Conduct report books containing minor cadet offenses and demerits. (supersedes COMDTINST M5212.12, para. 360a).	Destroy 1 year after book is filled. (NC1-26-80-4), item 360a
	b. Daily IBM conduct report cards containing data taken from conduct report book. (supersedes COMDTINST M5212.12, para. 360b).	Destroy when 5 years old. (NC1-26-80-4), item 360b
	c. Daily delinquency report from IBM conduct report card. (supersedes COMDTINST M5212.12, para. 360c).	Destroy when 3 years old. (NC1-26-80-4), item 360c
	d. Monthly delinquency report run from IBM conduct report card. (supersedes COMDTINST M5212.12, para. 360d).	Destroy when 18 months old. (NC1-26-80-4), item 360d
	e. Annual delinquency report run from IBM conduct report card. (supersedes COMDTINST M5212.12, para. 360e).	Destroy when 2 years old. (NC1-26-80-4), item 360e
	f. Daily delinquency slips. (supersedes COMDTINST M5212.12, para. 360f).	Destroy when 1 month old. (NC1-26-80-4), item 360f
13	Cadet Entrance Records. (supersedes COMDTINST M5212.12, para. 361a-d).	
	a. Cadet entrance examinations.	
	(1) For eligibles. (supersedes COMDTINST M5212.12, para. 361a(1)).	Destroy when 30 years old. (NC1-26-80-4), item 361a(1)
	(2) For non-eligibles. (supersedes COMDTINST M5212.12, para. 361a(2)).	Destroy when 2 years old. (NC1-26-80-4), item 361a(2)

	b. Tabulating cards containing data taken from completed examination. (supersedes COMDTINST M5212.12, para. 361b).	Destroy when 5 years old. (NC1-26-80-4), item 361b
	c. Copies of tabulating list of "eligibles" and "ineligibles" for entrance into the Academy. (supersedes COMDTINST M5212.12, para. 361c).	Destroy when 10 years old. (NC1-26-80-4), item 361c
	d. Educational questionnaire completed by applicants for appointment in the Academy. (supersedes COMDTINST M5212.12, para. 361d).	Destroy 6 months after date of entrance examination. (NC1-26-80-4), item 361d
14	Cadet Training Records. (supersedes COMDTINST M5212.12, para. 362a-b).	
	a. Cadet summer training plan file containing correspondence, reports, and related material concerning the planning and execution of the summer training program. (supersedes COMDTINST M5212.12, para. 362a)	Destroy when 6 years old. (NC1-26-80-4), item 362a
	b. Cadet practice cruise case file containing correspondence, reports, and related materials pertaining to arrangements for the cruise and the events occurring during the cruise with letters from foreign countries. (supersedes COMDTINST M5212.12, para. 362b)	Permanent. Transfer to NARA when 30 years old in 5 year blocks. (NC1-26-80-4), item 362b
15	Reports of Class Standing of Cadets. (superseded COMDTINST M5212.12, para. 363).	Permanent. Transfer to NARA when 30 years old in 5 year blocks. (NC1-26-80-4), item 363
16	Cadet Card Index File. (supersedes COMDTINST M5212.12, para. 365).	Destroy 10 years after the Cadet leaves the Academy. (NC1-26-80-4), item 365
17	Cadet Clearance Slips. (supersedes COMDTINST M5212.12, para. 366).	Destroy 1 year after Cadet leaves Academy. (NC1-26-80-4), item 366
18	Regulations of the Corps of Cadets. (supersedes COMDTINST M5212.12, para. 367).	Permanent. Transfer to NARA when 30 years old in 5 year blocks. (NC1-26-80-4), item 367

19	Cadet Adaptability Records. Cadet adaptability tabulation cards and reports not including cards placed in cadet folder.	Destroy 1 year after class graduates. (NC1-26-80-4), item 369

ITEM NO.	SSIC 1600 PERFORMANCE AND DISCIPLINE	AUTHORIZED DISPOSTIONS
1	CASE FILES. Includes approved plans, policies, programs, projects, and procedures concerning military discipline including clemency, mental incompetence appointment of trustee/guardian, and remission of indebtedness. (supersedes HQINST M5212.6A, para. 577).	Destroy when disestablished. (NC1-26-76-2), item 577

ITEM NO.	SSIC 1650 DECORATIONS, MEDALS, AND AWARDS	AUTHORIZED DISPOSITION
1	Agenda and minutes and general documentation of CG Board of Awards. (supersedes HQINST M5212.6A, para. 574).	Permanent. Retain at Headquarters. Transfer to NARA when 20 years old. (NC1-26-80-4), item 574
2	Case files of copies of individual citation and awards; actions by Board of Awards and the Commandant; general documentation information. (supersedes HQINST M5212.6A, para. 575).	Destroy upon separation from the Coast Guard or Coast Guard Reserve. (NC1-26-80-4), item 575
3	Register of Recipient of Life Saving Medals. (supersedes HQINST M5212.6A, para. 576).	Permanent. Transfer to NARA when 20 years old. (NC1-26-80-4), item 576
4	Lifesaving Awards Jacket including background information to substantiate the award, approval authority and narrative description of the events the individual performed to earn the award. (supersedes HQINST M5212.6A, para. 576a).	Permanent. Transfer to NARA 1 year after presentation of award or when one cubic foot accumulates. (NC1-26-80-4), item 576a

ITEM NO.	SSIC 1700 MORALE AND PERSONAL AFFAIRS (See also Chapter 4)	AUTHORIZED DISPOSITION
1	Interagency agreement and case files on approved plans, policies, programs and procedures concerning dependents' identification cards, recreation and morals, movies and inter-service sports competition. (supersedes HQINST M5212.6A, para. 578).	Destroy 5 years after disestablished. (NC1-26-76-2), item 578

2	Morale Fund Records. (supersedes COMDTINST M5212.12, para. 339).	Destroy 2 years after audit. (NC1-26-80-4), item 339
3	Case, subject, planning and control files on approved family housing projects with correspondence and memorandum concerning the program other than items of this section (supersedes HQINST M5212.6A, para. 582).	Destroy when 20 years old. (NC1-26-76-2), item 582
4	Housing Records. Copies of all inspection and inventory records applicable to Coast Guard housing (supercedes COMDTINST M5212.12, para. 340).	Destroy when 3 years old. (NC1-26-80-4), item 340
5	Family Advocacy Child/Spouse Abuse case files consisting of abuse reports, correspondence, copies of investigative reports, treatment, referrals and monitoring, memoranda, and case work notes. (supersedes COMDTINST M5212.12, para. 345a-b).	
	a. Office of Primary Responsibility (CGHQ) (supersedes COMDTINST M5212.12, para. 345a).	Temporary. Destroy records 5 years after close of case or date of last action, whichever is sooner. (NI-26-88-2), item 345a
	b. All Other Offices. (supersedes COMDTINST M5212.12, para. 345b).	Forward case files to CGHQ when case is closed, or when member is transferred or when member leaves the Service, whichever is sooner. (NI-26-88-2) item 345b

CHAPTER 2

TELECOMMUNICATIONS RECORDS

SSIC 2000 - 2999

This Chapter describes records that relate to the management and operation of communication services and facilities. They are created or accumulated by offices and field activities that exercise management control over and formulate and prescribe general communications policies and procedures.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below shall not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An outstanding claim for or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

SSIC 2000 TELECOMMUNICATIONS

ITEM NO.	SSIC 2000 GENERAL TELECOMMUNICATIONS SYSTEMS RECORDS	AUTHORIZED DISPOSITION
1	Records created by and documenting the organizational development and administration of the Office of Command, Control and Communications consisting of the following: (supersedes HQINST M5212.6A, para. 630).	
	a. Official record copy of each directive/publication issued by the office with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-83-3), item 630a
	b. Studies/Surveys conducted by the Office of Command, Control and Communications.	
	(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs.	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-83-3), item 630b(1)(a)
	(b) Which are not forwarded to or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-83-3), item 630b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.	Destroy when 2 years old. (NC1-26-83-3), item 630b(2)
2	General administrative correspondence, reports and related material (excluding primary records) from various activities of Command, Control, and Communications. (supersedes HQINST M5212.6A, para. 631).	Destroy when 2 years old. (NC1-26-83-3), item 631

3	Record material of a routine administrative or housekeeping nature. (supersedes HQINST M5212.6A, para. 632).	Destroy when 1 year old. (NC1-26-83-3), item 632
4	Electronic Engineering Records (supersedes HQINST M5212.6A, para. 637-657).	
	a. Avionics equipment manuals, files, technical descriptions and drawings. (supersedes HQINST M5212.6A, para. 637).	Destroy 6 months after equipment or aircraft is no longer in Coast Guard inventory (NC1-26-76-2), item 637
	b. Office of Engineering copy of contract file for construction, installation, alterations, etc. of electronic equipment, including drawings, photographs, technical description specifications and related data. (supersedes HQINST M5212.6A, para. 638).	Destroy 6 years, 3 months after completion of delivery. (NC1-26-76-2), item 638
	c. Files containing requests for procurement and for bid or quotation, invoices, requisitions for Headquarters controlled electronic equipment, inspectors report and related data. (supersedes HQINST M5212.6A, para. 639).	
	(1) Request for procurement, bids or quotations. (supersedes HQINST M5212.6A, para. 639a).	Destroy 5 years after completion of delivery. (NC1-26-76-2), item 639a
	(2) All other material. (supersedes HQINST M5212.6A, para. 639b).	Destroy when 3 years old. (NC1-26-76-2), item 639b
	d. Project files pertaining to development and testing of electronic systems at Coast Guard units. (supersedes HQINST M5212.6A, para. 640).	Maintain at Coast Guard Headquarters as an active working/reference file. Destroy when file becomes inactive. (NC1-26-76-2), item 640

e. Case files on electronic navigational aids containing request for authorization, approvals for installation photographs, blueprints, correspondence, related papers on changes and maintenance. (supersedes HQINST M5212.6A, para. 641).	Permanent. Transfer to FRC when aid is no longer active. Transfer to NARA 10 years after aid is no longer active. (NC1-26-76-2), item 641
f. Reference files on electronic parts; designation, description, price of parts, stock record inventory value of equipment, tabulation sheets, allowance lists, changes in allowance lists and correspondence on installation and conversion. (supersedes HQINST M5212.6A, para. 642).	Destroy when superseded or obsolete. (NC1-26-80-4), item 642
g. Specification for all electronic equipment developed by or for the Coast Guard. (supersedes HQINST M5212.6A, para. 643).	Destroy 2 years after equipment is declared obsolete. (NC1-26-76-2), item 643
h. Drawings of electronic equipment, LORAN maps and navigation charts, radio beacon charts, station plans, drawings, blueprints and photographs. (supersedes HQINST M5212.6A, para. 644).	Permanent. Transfer to NARA 4 years after equipment is obsolete. (NC1-26-76-2), item 644
i. Electronic Alterations Request and Ship Alteration Requests. (supersedes HQINST M5212.6A, para. 645).	Destroy when superseded or obsolete. (NC1-26-76-2), item 645
j. Submarine cable data reports made when cable is tested, relocated or repaired. (supersedes HQINST M5212.6A, para. 646).	Destroy 6 months after cable leaves Coast Guard control. (NC1-26-76-2), item 646
k. General correspondence on procurement delivery and general maintenance records on building on lines, purchasing materials, etc. (supersedes HQINST M5212.6A, para. 647).	Destroy when 3 years old. (NC1-26-76-2), item 647
l. Telephone construction and maintenance records on building of lines, purchasing materials, etc. (supersedes HQINST M5212.6A, para. 648).	Destroy when 6 years, 3 months old. Transfer to FRC when 3 years old. (NC1-26-76-2), item 648
m. Telephone line location reports. (supersedes HQINST M5212.6A, para. 649).	Destroy 6 months after line leaves Coast Guard control. (NC1-26-76-2), item 649

n. Telephone line and cable number system index. (supersedes HQINST M5212.6A, para. 650).	Destroy 6 months after superseded or obsolete. (NC1-26-76-2), item 650
o. Correspondence files on acquisition and maintenance of Coast Guard land line right of way. (supersedes HQINST M5212.6A, para. 651).	Destroy 10 years after termination of agreement and discontinued use of the right of way. Transfer to FRC 3 years after termination of agreement and discontinued use of the right of way. (NC1-26-76-2), item 651
p. Acquisition, construction and improvement (AC&I) and operating expenses allotment files. (supersedes HQINST M5212.6A, para. 652).	Destroy when 5 years old. (NC1-26-76-2), item 652
q. Resource Change Proposals. (supersedes HQINST M5212.6A, para. 653).	Destroy 3 years after completion. (NC1-26-76-2), item 653
r. Reports developed from electronics installation, changes and maintenance system (EICAM). (supersedes HQINST M5212.6A, para. 654).	Destroy when obsolete or superseded except equipment parts failure summary which is destroyed when 3 years old. (NC1-26-76-2), item 654
s. Flag Plot duty officers logs of daily operations. (supersedes HQINST M5212.6A, para. 655).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 655
t. Flag Plot Search and Rescue case files consisting of correspondence and reports on specific cases which have been retained for their importance for historical reasons or otherwise. (supersedes HQINST M5212.6A, para. 656).	Permanent. Transfer to FRC when years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 656

5	Records created or received by the National Response Center consisting of the following: (supersedes HQINST M5212.6A, para 657a-j).	
	a. Oil/Hazardous Material Discharge Reports. Telephonic report forms containing information obtained from individuals who contacted the National Response Center to file a report under the Federal Water Pollution Act, Tosca, HAZMAT, Transport Act, and/or RCRA. (supersedes HQINST M5212.6A, para. 657a).	Transfer to FRC when 2 years old. Destroy when 10 years old. (NC1-26-76-2), item 657a
	b. NRC Case Files. A collection of all message traffic, discharge reports "Daily Summaries," charts and other documents for each medium and major severity case handled by National Response Center. (supersedes HQINST M5212.6A, para. 657b).	Transfer to FRC when 3 years old. Destroy when 10 years old. (NC1-26-76-2), item 657b
	c. Potential Medium/Major Files. A collection of documentation for all cases handled by the National Response Center in which no spill actually occurred, but where a potential for a medium or major spill existed. (supersedes HQINST M5212.6A, para. 657c).	Transfer to FRC when 2 years old. Destroy when 5 years old. (NC1-26-76-2), item 657c
	d. Information Case Files. Public Interest cases not involving Federal responses. (supersedes HQINST M5212.6A, para. 657d).	Destroy when superseded, canceled, or no longer needed for reference purposes. (NC1-26-76-2), item 657d
	e. Hazmats. A collection of sequentially numbered telephonic report forms containing information obtained from individuals who contacted the National Response Center to file a report under the Hazmat Transport Act. (supersedes HQINST M5212.6A, para. 657 f).	Destroy when 3 years old. (NC1-26-76-2), item 657f
	f. Duty Officer's Log. An official log of all actions taken by the National Response Center, Duty Officer, including but not limited to receiving and passing of Discharge Reports. (supersedes HQINST M5212.6A, para. 657g).	Transfer to FRC when 2 years old. Destroy when 10 years old. (NC1-26-76-2), item 657g

	g. Daily Summaries. An information sheet published by the National Response Center for distribution to Coast Guard offices and other agencies, etc. (supersedes HQINST M5212.6A, para. 657h).	Transfer to FRC when 2 years old. Destroy when 4 years old. (NC1-26-76-2), item 657h
	h. Incident Memo Files. Briefing sheet designed to inform Headquarters officials of significant pollution incidents which occur during the working day. (supersedes HQINST M5212.6A, para. 657i).	Destroy when superseded, canceled, or no longer needed for reference purposes. (NC1-26-76-2), item 657i
	i. Confirmation Letter Files. A collection of letters mailed to the National Response Center by corporations to confirm, in writing, reports of spills that were telephoned to the NRC in accordance with Section 311 of the Federal Water Pollution Control Act. (supersedes HQINST M5212.6A, para. 657j).	Transfer to FRC when 2 years old. Destroy when 10 years old. (NC1-26-76-2), item 657j
6	Inventories, reports such as transfer and destruction reports and related papers on register publications used as controls over security of classified records held throughout the Coast Guard. (supersedes HQINST M5212.6A, para. 635).	Destroy in accordance with effective editions of CMS-4. (NC1-26-76-2), item 635
7	Communications Summary. (supersedes HQINST M5212.6A, para. 634 and COMDTINST M5212.12, para. 294c).	Destroy when 2 years old. (NC1-26-76-2), item 634 and (NC1-26-80-4), item 294c
8	Communication Center copy of messages sent and received. (supersedes HQINST M5212.6A, para. 636).	Destroy when 6 months old. (NC1-26-76-2), item 636
9	Communications file of message logs, (communications center, station message file, ship radio room file, etc. (supersedes COMDTINST M5212.12, para. 294a).	Destroy in accordance with Commandant Instruction M2000.3 (series) (NC1-26-80-4), item 294a

10	<u>Omega Transmitter Strip Charts 1973-1984. 137 cu. ft. Arranged chronologically.</u> Strip recording charts of original OMEGA transmitter station phase data showing results of test runs. Each strip chart is marked with the latitude and longitude of run. WNRC Accession: 26-83-80 Boxes 1-59 26-83-81 Boxes 1-44 26-85-07 Box 1 26-85-08 Box 1-10 26-86-0005 Boxes 1-8 26-86-0006 Boxes 1-9 26-86-0007 Boxes 1-6	Destroy when 10 years old. (N1-26-92-2-P), item 1

CHAPTER 3

OPERATIONS AND READINESS RECORDS

SSIC 3000 - 3999

This Chapter describes records that relate to various phases of Coast Guard operations - sea, land, or air - including those pertaining to preparation, training and defense readiness, port and flight operations, weather services, intelligence, and research and development. The records are accumulated by activities ashore and afloat applying procedures and policies established by higher organizational elements, by command activities exercising management and operational control, and by departmental (Headquarters) offices responsible for managing, planning, developing, and prescribing operational policies and procedures for joint operations, mobilization, and fleet operations. See also Chapter 16.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below shall not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An outstanding claim for or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

SSIC 3000 OPERATIONS AND READINESS

ITEM NO.	SSIC 3000 OPERATIONS AND READINESS	AUTHORIZED DISPOSITION
1	Records created by the Office of Operations documenting the organizational development and administration of the Office of Operations consisting of the following: (supersedes HQINST M5212.6A, para. 451).	
	a. Official record copy of each directive/publication issued by the office with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 451
	b. Studies/Surveys conducted by the Office of Operations.	
	(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs.	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 451 b(1)(a)
	(b) Which are not forwarded to higher authority or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2), item 451b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 451b(2)
2	General administrative correspondence, reports and related material (excluding primary records) for the various activities of operation. (supersedes HQINST M5212.6A, para. 452).	Destroy when 10 years old. (NC1-26-76-2), item 452
3	Correspondence files of a routine administrative or housekeeping nature. (supersedes HQINST M5212.6A, para. 453).	Destroy when 3 years old. (NC1-26-76-2), item 453

4	Special program project files consisting of correspondence, reports, etc. on administrative matters such as budget, coordinating operation-activities. (supersedes HQINST M5212.6A, para. 454).	Destroy record material from case files when 3 years old. (NC1-26-76-2), item 454
5	Abstracts of services-wide operations. (supersedes HQINST M5212.6A, para. 455).	Destroy when 4 years old. (NC1-26-76-2), item 455
6	Abstract of Operations for Aircraft, Boats, and Cutters; Individual and Summary Reports for aircraft, boats, and cutters. Include operating hours by employment category, and scheduled and unscheduled maintenance hours. Data is used for planning and budgetary purposes. (supersedes HQINST M5212.6A, para. 456).	Destroy when 10 years old. Transfer to FRC when 3 years old. (NC1-26-82-4), item 456
7	Operating Plans with Change Orders. (supersedes HQINST M5212.6A, para. 459).	Destroy when 20 years old. Transfer to FRC when 5 years old. (NC1-26-76-2), item 459
8	Long Term impact or policy studies with related material pertaining to operational plans. (supersedes HQINST M5212.6A, para. 460).	Destroy when 30 years old. Transfer to FRC when 12 years old. (NC1-26-76-2), item 460

ITEM NO.	SSIC 3140 GEOPHYSICAL AND HYDROGRAPHIC OR MAPPING Select Coast Guard District Records at Boston FRC	AUTHORIZED DISPOSITION
1	a. BOUNDARY LINE MAPS, ca. 1911-50, 6 in. Maps documenting the separation between rivers and harbors on the one hand and bays and sounds on the other. The lines demarcate areas to be controlled by the state from those controlled by the Federal Government. These areas have been changed over the years, and the records document the changes that have occurred. There is relatively high public interest in these records, since control of the waterways implies responsibilities. The maps all pertain to New England harbors. (026-54C0037, box 2, A27137S)	Permanent. Transfer to NARA immediately upon approval of this schedule. (N1-26-93-1), item 1
	b. BOUNDARY RECORDS. Ca. 1911-50 1 inch Correspondence and maps documenting changes in boundaries of units (e.g. Boston or Providence districts) within the First Coast Guard District. These records help document the organizational history of the District. (026-54C0037 Box 1, A27136)	Permanent. Transfer to NARA immediately upon approval of this schedule. (N1-26-93-1), item 2

	c. SIGNIFICANT DISTRICT CORRESPONDENCE, ca. 1942-44, 2 in. This collection contains several small items that have historical significance because they illustrate CG District activities during WWII. The items consist of the following: a report on a German landing on Long Island with instructions on how to handle such situations locally; correspondence on the rationing of fuel oil in Mass.; Captain of Port forms designating restrictions on the movement of ships in Boston Harbor. All three items are examples of ways in which the War impacted the CG in New England. (026-54B0037-Box 2, A27133; 026-54D0037, Box 1, A27142)	Permanent. Transfer to NARA immediately upon approval of this schedule. (N1-26-93-1), item 3

ITEM NO.	SSIC 3500 TRAINING AND READINESS. See also Chapters 8 and 16	AUTHORIZED DISPOSITION
1	Periodic inventory, status, training and competition report concerning ordnance and munitions (including loss of) weapons systems, unit training and achievement and similar reports on readiness training. Reports of breakage or loss of radio sets and/or operational test sources. (supersedes HQINST M5212.6A, para. 498).	Destroy when 3 years old. (NC1-26-76-2), item 498
2	Reports on mobilization of retired regular and reserve personnel. (supersedes HQINST M5212.6A, para. 499).	Destroy when 2 years old. (NC1-26-76-2), item 499
3	Summaries of Gunnery and ASW Training Exercises. (supersedes HQINST M5212.6A, para. 500).	Destroy when 5 years old. (NC1-26-76-2), item 500
4	Monthly summaries of operations in Vietnam. (supersedes HQINST M5212.6A, para. 501).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 501
5	Original Forecast Files. Area Commanders' aerological maps, reports and forms with related papers pertaining to original forecasts initiated by the Coast Guard. (supersedes COMDTINST M5212.12, para. 292).	Destroy when 18 months old. (NC1-26-80-4), item 292

6	Operations Plans and Orders Issued by the Area or District Commander. (supersedes COMDTINST M5212.12, para. 298).	
	a. Record copies (Originator's case file)	Destroy when 20 years old. Transfer to FRC when 5 years old. (NC1-26-80-4), item 298a
	b. All other copies.	Destroy when superseded, or obsolete, or no longer needed for reference purposes. (NC1-26-80-4), item 298b
7	Distress Case Files. Area Commander's distress case files with indexes relating to distress cases where the Coast Guard renders assistance. (supersedes COMDTINST M5212.12, para. 299).	Destroy when 5 years old. (NC1-26-80-4), item 299
8	Abstract and copies of computer print-out of operations of aircraft, boats and cutters. Individual and summary reports of aircraft, boats and cutters. Include operating hours by employment category, and scheduled and unscheduled maintenance hours. Also, includes records of work-sheets submitted by field units Headquarters to produce the abstract of operations. (supersedes COMDTINST M5212.12, para. 300).	Destroy when 3 years old. (NC1-26-80-4), item 300

ITEM NO.	SSIC 3800 INTELLIGENCE. See also Chapter16	AUTHORIZED DISPOSITION
1	Intelligence Records. Intelligence files (personnel-type) folders consisting of various intelligence data including correspondence, reports of investigations on military and civilian personnel, merchant seamen and waterfront workers previously sent to an FRC pursuant to EO 10173 and 10450 with alphabetical index thereto. (supersedes HQINST M5212,12, para. 461).	Destroy 20 years from date of transfer to FRC. Transfer to FRC 1 year after date of last action. Transfer will be held in abeyance for any individuals still on active duty. (NC1-26-80-4), item 461
2	a. District Intelligence and Security Investigative Case system records, DOT/CG-611. (supersedes COMDTINST M5212,12, para. 295a).	

(1) Coast Guard Military and Civilian Employees. Applies to Public Health Service medical personnel assigned to the Coast Guard.	Retain until member/employee is transferred out of district or separated. See Note 1. (NC1-26-80-4), item 295a(1)
(2) All others.	Destroy 2 years following date of last action in file. (NC1-26-80-4), item 295a(2)
(3) Index cards.	Destroy 4 years after the intelligence jackets to which they refer have been destroyed. (NC1-26-80-4), item 295a(3)
b. Referred Report (R/RS). (supersedes COMDTINST M5212.12 para. 295b).	Retain R/R's in the referred district 6 months subsequent to the date the R/R was submitted to the control district, then destroy. (NC1-26-80-4), item 295b
c. Report of Investigation (ROI). (supersedes COMDTINST M5212.12 para. 295c).	
(1) Personnel security investigations.	Destroy 6 months after submission of original ROI to central file. (NC1-26-80-4), item 295c(1)
(2) Non-Personnel security investigations.	
(1) Deserters	Destroy 2 years from the date the investigation is closed. See Note 1. (NC1-26-80-4), item 295c(2)(1)
(2) Criminal, known subject.	Retain until member/employee is transferred out of district or separates, then destroy. (NC1-26-80-4), item 295c(2)(2)
(3) Intelligence.	Destroy when obsolete or when 5 years old, whichever is sooner. See Note 1 below. (NC1-26-80-4), item 295c(2)(3)

(4) Unknown subject.	Destroy 5 years after investigation is closed. (NC1-26-80-4), item 295c(2)(4)
d. ROIs or other types of intelligence or investigation. Includes material received by Coast Guard Intelligence from outside sources, such as other Federal agencies (FBI, DIA, CIA, etc.) and local law enforcement agencies. (supersedes COMDTINST M5212.12 para. 295d).	Destroy when obsolete or when 5 years old, whichever is sooner. (NC1-26-80-4), item 295d
e. Case files involving seizures, arrests, or assessment of civil penalties. (supersedes COMDTINST M5212.12 para. 295e).	Destroy when 5 years old. (NC1-26-80-4), item 295e

NOTE 1: Screened material not held in central files. Original copies are for inclusion in central files, remaining material shall be destroyed. Forward to Headquarters within 30 days upon separation or transfer of member/employee.

ITEM NO.	SSIC 3910 RESEARCH AND DEVELOPMENT (R&D) GENERAL	AUTHORIZED DISPOSITION
1	Records created by the Office of Research and Development documenting the organizational development and administration of the Office of Research and Development consisting of the following: (supersedes HQINST M5212.6A, Para. 91).	
	a. Official record copy of each directive/publication issued by the office with significant background material	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 91a
	b. Studies/Surveys conducted by the Office of Research and Development	
	(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs.	

	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 91b(1)(a)
	(b) Which are not forwarded to higher authority or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2), item 91b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 91b(2)
2	Research and Development Project Case Files. Record copy reflecting a complete history of each project including technical characteristics, test and trial results, drawings, specifications and photographs essential to document design, technical and progress reports, record copy and correspondence, memorandums and reports directly related to project produced by the project officer. (supersedes HQINST M5212.6A, para. 92).	Destroy 10 years after completion of project. Transfer to FRC 5 years after completion of project. (NC1-26-76-2), item 92
3	General administrative correspondence, reports and related material (excluding primary records of various activities of research and development). (supersedes HQINST M5212.6A, para. 93).	Destroy when 3 years old. (NC1-26-76-2), item 93
4	Annual appropriation summary reports and related material). (supersedes HQINST M5212.6A, para. 94).	Destroy when 5 years old. (NC1-26-76-2), item 94
5	Notebooks containing technical and scientific information duplicated in project reports or case material, or is of such a nature as to be non-essential to project files. (supersedes HQINST M5212.6A, para. 95).	Destroy 6 months after completion or termination of project. (NC1-26-76-2), item 95
6	Technical reference files. (supersedes HQINST M5212.6A, para. 96).	Destroy when superseded or obsolete. (NC1-26-76-2), item 96

7	Control material consisting of duplicate copies of case material, non-essential scientific or technical information, individual progress reports and administrative correspondence. (supersedes HQINST M5212.6A, para. 97).	Destroy upon completion or termination of project. (NC1-26-72-2), item 97
8	Copies of office supplies and procurement requests, excluding project procurement. (supersedes HQINST M5212.6A, para. 98).	Destroy when 3 years old. (NC1-26-72-2), item 98

CHAPTER 4

LOGISTICS RECORDS

SSIC 4000 - 4999

The records described in this Chapter pertain to U. S. Coast Guard's logistical operations-the furnishing of supplies, equipment, and services. They relate to procurement, contract inspection, supply administration accounting, industrial fund accounting and financing, financial management reporting and statistics, and other comptroller type operations of appropriated and non-appropriated related funds. See also Chapter 7 of this Manual and General Record Schedules 3 through 11.

Budgetary records, appropriations, funds, cost accounting and other fiscal accounting records should be cut off and disposed of on a fiscal year as opposed to a calendar year basis.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Chapter, records directly relating to matters listed below shall not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An unsettled claim by or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

In addition, records relating to fund authorizations under which a statutory violation is outstanding will not be destroyed until notification is received that the case has been closed. Any temporary extension of an approved retention period may be made only with the prior written approval of the National Archives and Records Administration (NARA), as set forth in 41 CFR101-11.406-8 and required by 44 U.S.C 3303a.

SSIC 4000 LOGISTICS RECORDS

ITEM. NO.	SSIC 4000 GENERAL	AUTHORIZED DISPOSITION
1	Originals of Coast Guard directives, significant background and printed copy. (supersedes HQINST M5212.6A, para. 13).	
	a. Official record copy of each directive/publication issued by the office with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 170a
	b. Studies/Surveys conducted by the Office of the Comptroller (supersedes HQINST M5212.5A, para. 170 b(1)(a)(b) and (2)).	
	(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 170b(1)(a)
	(b) Which are not forwarded to higher authority or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Offer to NARA when 20 years. (NC1-26-76-2), item 170b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 170b(2)
2	Primary records containing formal policy and procedural issuance and developmental data on the planning and administration of the financial activities of the Coast Guard; case files of manuals, directives, regulations, standards, etc. (supersedes HQINST M5212.6A, para. 171).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 171

3	Copies of Logistics records such as commissary reports, clothing reports, inventory reports, requisitions, invoices and vouchers, purchase orders on which delivery of material or services have been made, receipts for which the material or funds have been accounted for, and copies of all other related papers on which the required action has been completed; except those on file in the assistant disbursing officer's account. (supersedes COMDTINST M5212.12, para. 110e).	Destroy when 3 years old. (NC1-26-80-4), item 110e

ITEM. NO.	SSIC 4050 HOUSEHOLD GOODS AND PERSONAL PROPERTY	AUTHORIZED DISPOSITION
1	Household goods shipment records. (military) (copies) (supersedes HQINST M5212.6A, para. 194).	Destroy upon separation of member from Coast Guard. (NC1-26-76-2), item 194

ITEM. NO.	SSIC 4065 COMMISSARY STORES	AUTHORIZED DISPOSITION
1	Unit commissary and clothing reports. (supersedes HQINST M5212.6A, para. 195).	Destroy when 4 years old. (NC1-26-76-2), item 195
2	Original commissary reports. (District Office). (supersedes COMDTINST M5212.12, para. 110d). Note: See also Chapter 7	Destroy when 3 years old. (NC1-26-80-4), item 110d
3	Consolidated commissary reports and copies of stores statements received from Districts. (supersedes HQINST M5212.6A, para. 178).	Destroy FY ending reports or statements 10 years after close of FY: all others 3 years after close of FY. Transfer FY ending reports to FRC 3 years after close of FY. (NC1-26-76-2), item 178

ITEM NO.	SSIC 4130 CONFIGURATION MANAGEMENT (See also SSIC 13000 for Aeronautical Engineering Records and SSIC 9000 for Naval Engineering).	AUTHORIZED DISPOSITION
1	Records created by the Office of Engineering documenting the organizational development and administration of the Office of Engineering consisting of the following (supersedes HQINST M5212.6A, para. 101a and 101 b(1)(a)(b)(2)).	

	a. Official record copy of each directive/publication issued with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (N1-26-76-2), item 101a
	b. Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs, which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (N1-26-76-2), item 101b(1)(a)
	c. Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs which are not forwarded to or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (N1-26-76-2), item 101b(1)(b)
2	General correspondence files, excluding primary records, accumulated by engineering activities in carrying out their programs. (supersedes HQINST M5212.6A, para. 102).	Destroy when 5 years old. (N1-26-76-2), item 102
3	Routine correspondence of a general, administrative or housekeeping nature. (supersedes HQINST M5212.6A, para. 103).	Destroy when 3 years old. (N1-26-76-2), item 103
4	Civil Engineering Records	
	a. General files on budgets and funds related to construction and maintenance. (supersedes HQINST M5212.6A, para. 109).	Destroy when 5 years old. (NC1-26-76-2), item 109
	b. Construction progress reports (Form CG-2617 or equivalent) (supersedes HQINST M5212.6A, para. 110).	Destroy when 5 years old. (NC1-26-80-4), item 110
	c. Copies of construction contracts with specification, drawings and related materials (supersedes HQINST M5212.6A, para. 111).	Destroy 3 years after completion of contract. (NC1-26-76-2), item 111
	d. Copies of procurement contracts and purchase orders. (supersedes HQINST M5212.6A, para. 112).	Destroy 3 years after completion of contract. (NC1-26-76-2), item 112
	e. Card records of vehicles in service (supersedes HQINST M5212.6A, para. 113).	Destroy when 5 years old. (NC1-26-76-2), item 113

	f. General subject files on vehicles containing correspondence and reports. (supersedes COMDTINST M5212.12, para. 84).	Destroy when 3 years old. (NC1-26-80-4), item 84
5	Photographs of shore units and construction projects--the original negative and captioned print for each black and white image and the original color transparency or color negative, a captioned print, and an internegative (if one exists) for each color image. (supersedes HQINST M5212.6A, para. 115 and COMDTINST M5212.12, para. 86a).	Permanent. Transfer to NARA after completion of construction project and/or discontinuance of the unit. (NC1-26-76-2 and NC1-26-80-4), items 115 and 86a
6	35 mm and105mm negatives of drawings of contract sets of short unit structures and of active shore units. (supersedes HQINST M5212.6A, para. 116 and COMDTINST M5212.12, para. 86b).	Maintain at CG Headquarters as an active working file. Destroy when inactive. (NC1-26-76-2 and NC1-26-80-4), items 116 and 86b
7	Microfilm from Districts and Headquarters Units of original AS BUILT drawings (tracings). (supersedes HQINST M5212.6A, para. 117).	Maintain at CG Headquarters as an active working file. Destroy when inactive. (NC1-26-76-2), item 117
8	Equipment and systems drawings. (supersedes HQINST M5212.6A, para.147, and COMDTINST M5212.12, para. 87).	
	a. Original AS BUILT drawings (tracings) of aids to navigation equipment and minor structures, oceanographic and marine environmental protection (MEP) equipment, sensor systems, and microfilm.	Permanent. Transfer to NARA 5 years after obsolescence. (NC1-26-76-2 and NC1-26-80-4), items 147 and 87
	b. All other copies.	Destroy 1 year after discontinuance of equipment or system. (NC1-26-76-2 and NC1-26-80-4), items 147 & 87
9	Advance planning files containing project reports for AC&I (on forms CG-2618 series or equivalent) and unit development plans describing work proposed, cost estimates, justification with related charts, drawings, maps or photographs as needed. (supersedes HQINST M5212.6A, para. 108 and COMDTINST M5212.12, para. 85).	Destroy 3 years after project is completed. (NC1-26-76-2 and NC1-26-80-4), items 108 and 85

10	Ocean Engineering (see also SSIC 16500)	
	a. Acquisition, construction, and improvement (AC&I) project files including budgeting, general procurement files and ledgers. (supersedes HQINST M5212.6A, para. 148).	Destroy at Headquarters 5 years after close of project or when superseded or obsolete. (NC1-26-76-2), item 148
	b. Operating expense files; copies of procurement contracts, purchase orders, invoices of material shipped, shipment orders, acceptance and delivery reports and related material. (supersedes HQINST M5212.6A, para. 154).	Destroy when 5 years old. (NC1-26-76-2), item 154
	c. Resource change proposals. (supersedes HQINST M5212.6A, para. 155).	Destroy at Headquarters 3 years after completion. If not funded, 3 years after fiscal year for which written. (NC1-26-76-2), item 155
	d. Flasher Installation Cards. (supersedes HQINST M5212.6A, para. 156).	Destroy at Headquarters when 5 years old. (NC1-26-76-2), item 156
11	Electronics Engineering Records	
	a. Electronics equipment case files containing correspondence, memorandum reports, plans, and authorizations pertaining to the acquisition, maintenance, repairs, and design of a particular type of equipment. (supersedes COMDTINST M5212.12, para. 80a).	Destroy 1 year after disposal of equipment. (NC1-26-80-40), item 80a
	b. Copies of plans and blueprints for installation of electronic equipment. (supersedes COMDTINST M5212.12, para. 80b.)	Destroy when superseded or obsolete. (NC1-26-80-4), item 80b
	c. Copies of landline installation records and related papers describing the landline facilities for specified areas. (supersedes COMDTINST M5212.12, para. 80c).	Destroy when superseded or obsolete. (NC1-26-80-4), item 80c
	d. Copies of right of way permits for landlines, with related papers, granted to the Coast Guard by Government agencies, local government units and private firms. (supersedes COMDTINST M5212.12, para. 80d).	Destroy 3 years after installation is abandoned or expiration of permit, whichever is later. (NC1-26-80-4), item 80d

	e. Correspondence, memoranda, and reports, relating to the installation and maintenance of electronic installations of Coast Guard units. (supersedes COMDTINST M5212.12, para. 80e).	Destroy when 3 years old. (NC1-26-80-4), item 80e

ITEM. NO.	SSIC 4200 CONTRACTING. See also GRS 3	AUTHORIZED DISPOSITION
1	Copies of contracts, purchase orders and related files on accounting data. (HQINST M5212.6A, para. 193).	Destroy 3 years after final action. (NC1-26-76-2), item 193
2	Contract appeals case files. (supersedes HQINST M5212.6A, para. 386).	Destroy 10 years after close of case. Transfer to FRC after close of case. (NC1-26-76-2), item 386
3	Routine Procurement Files: Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment, (other than those covered in items 1 and 12 of GRS 3), procurement or purchase organization copy, and related papers. Transactions dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold"). Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding $2,000. (supersedes GRS 3, 3a(1)(a) and HQINST M5212.6A, para. 206d).	Destroy 6 years and 3 months after final payment. (GRS 3, 3a(1)(a)) and (NC1-26-76-2), item 206d
4	Contract files involving transactions over $10,000 but less than $25,000. (supersedes HQINST M5212.6A, para. 206c).	Destroy 6 years and 3 months after final payment. Transfer FY block to FRC after 2 years. (NC1-26-76-2), item 206c
5	Contract files involving transactions of $25,000 or more. Files contain correspondence, forms and other related contractual documents. (supersedes HQINST M5212.6A, para. 206e).	
	a. Paper Documents.	Destroy after contract file is microfilmed and completion of quality control edit as outlined in FPMR 101-11-5, pertaining to non-permanent records. (NC1-26-76-2), item 206e(1)

	b. Microfilm of paper documents.	Destroy 6 years 3 months after final payment. (NC1-26-76-2), item 206e(2)
	c. Unfilmed paper documents.	Destroy 6 years 3 months after final payment. (NC1-26-76-2), item 206e(3)
	d. Paper records maintained at the Federal Records Center.	Destroy 6 years 3 months after final payment. (NC1-26-76-2), item 206e(4)
6	Memorandum copies of Government Bills of Lading and Bills of Lading Registers. (supersedes HQINST M5212.6A, para. 207 and 208).	Destroy when 4 years old. (NC1-26-76-2), items 207 and 208

ITEM NO.	SSIC 4500 REDISTRIBUTION AND DISPOSAL OF PROPERTY (See also GRS 4).	AUTHORIZED DISPOSITION
1	Reports of Excess Personal Property and Boards of Survey covering boats, vessels, aircraft and weapons. (supersedes HQINST M5212.6A, para. 212).	Destroy 20 years after disposal action completed. Transfer to FRC 3 years after disposal action completed. (NC1-26-76-2), item 212
2	Reports of Excess Personal Property and Boards of Survey except boats, vessels, aircraft, and weapons. (supersedes HQINST M5212.6A, para. 213).	Destroy 3 years after disposal action. (NC1-26-76-2), item 213
3	Title paper and easements and other records that constitute the Site Files for Coast Guard property. (supersedes HQINST M5212.6A, para. 221).	Permanent. Cut off files after disposition of property. Transfer to NARA in 5 year blocks. (NC1-26-76-2), item 221
4	Boards of Survey. (Site Files) relating to real and related personal property (land and appurtenance). (supersedes HQINST M5212.6A, para. 224).	
	a. Land and/Real Property and related appurtenances. File includes easements, licenses and permits related to the particular property, correspondence relating historical significance of the property, vicinity map, plot plan, photographs, Attorney's Report of Title, metes and bounds description of the property, and all correspondence relating to the actual disposal.	PERMANENT. Cut off final disposition of property. Transfer to NARA in 5 year blocks. (NC1-26-76-2), item 224a

	b. Appurtenances. Transactions of: $1,000 or less; more than $1,000 and less than $25,000; and $25,000 and over.	Destroy 3 years after final endorsement. (NC1-26-76-2), items 224 b, c, and d
5	Surplus Property Case Files. Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence. (GRS 4/3)	Destroy 6 years after final payment. (GRS 4/3a)
	a. Transactions of more than $25,000.	
	b. Transactions of $25,000 or less.	Destroy 3 years after final payment. (GRS 4/3b)
6	Correspondence on policy matters affecting CG participation in Federal Cataloging program. (supersedes HQINST M5212.6A, para. 216).	Destroy when 6 years old. (NC1-26-76-2), item 216
7	Inventory Control Point Records. Inventory and stock record cards, reports of all supporting and related documents pertaining to storage and stocking of material for Coast Guard use. (supersedes COMDTINST M5212.12, para. 109).	Destroy after 2 years except for disposal of inventory tags which will be in accordance with the Comptroller Manual. (NC1-26-76-2), item 109b
8	Record copies relating to development of data on CG items of supply, and assignment of stock numbers. (supersedes COMDTINST M5212.12, para. 109).	Destroy when 5 years old. (NC1-26-76-2), item 109n
9	Catalog revision files. Stock status reports. Reports of inventory of weapons. Copies of ordinance history cards. (supersedes COMDTINST M5212.12, para. 109).	Destroy when 2 years old. (NC1-26-76-2), item 109 e-h

ITEM NO.	SSIC 4700 MAINTENANCE, CONSTRUCTION & CONVERSION (COAST GUARD YARD).	AUTHORIZED DISPOSITION
1	Ships Files. (supersedes COMDTINST M5212.12, para. 395).	
	a. Ship's files containing work lists, correspondence, job orders, reports and related material pertaining to planning and completion of work on a ship undergoing availability at the Yard.	Destroy 1 year after disposal of cutter. (NC1-26-80-4), item 395a

	b. Ship's file containing correspondence, job orders, reports, specifications and related material pertaining to construction of a ship at the Yard.	Destroy 1 year after disposal of cutter. (NC1-26-80-4), item 395b
2	Small Boat Construction Repair and Alterations Records. (supersedes COMDTINST M5212.12, para. 396).	
	a. Small boat repairs and alteration file containing correspondence, job orders, requisitions and related papers.	Destroy 3 years after repair or alteration is completed. (NC1-26-80-4), item 396a
	b. Small boat construction file containing correspondence.	Destroy 10 years after construction is completed. (NC1-26-80-4), item 396b
3	Cost Transaction Records of Jobs Performed at the Yard. (supersedes COMDTINST M5212.12, para. 397).	
	a. Daily detailed cost transactions of construction, repair and manufacturing jobs performed at the Yard.	Destroy when 1 year old. (NC1-26-80-4), item 397a
	b. Weekly cost summaries of construction repair and manufacturing jobs performed at the Yard.	Destroy when 3 years old. (NC1-26-80-4), item 397b
	c. Final cost compilations taken from the weekly summaries.	Destroy when 4 years old. (NC1-26-80-4), item 397c
	d. Production cost reports and records maintained on all projects.	Destroy 1 year after project is completed. (NC1-26-80-4), item397d
	e. Estimators' control sheets used for determining how much work can be accomplished within the allocated funds.	Destroy at close of year in which work is completed. (NC1-26-80-4), item 397e
	f. Teletype job orders from which EAM cards are prepared showing estimates under each allotment.	Destroy 3 months after job is completed. (NC1-26-80-4), item 397f
4	Yard Construction, Maintenance and Work Activity Records. (supersedes COMDTINST M521212, para. 398).	
	a. Correspondence, reports and related material pertaining to the overall maintenance and minor Yard work activities.	Destroy when 4 years old. (NC1-26-80-4), item 398a

	b. Correspondence, plans, reports and related papers pertaining to Yard building construction and equipment installation.	Destroy 1 year after disposal of building or equipment. (NC1-26-80-4), item 398b
5	Stock Items. (supersedes COMDTINST M5212.12, para. 399).	
	a. Stock Records	
	(1) Stock records cards.	Destroy 1 year after discontinuance of item or 1 year after stock balance is transferred to a new card. (NC1-26-80-4), item 399a(1)
	(2) Computer stock records files.	Delete from computer record 1 year after discontinuance of stocking item. (NC1-26-80-4), item 399a(2)
	b. Correspondence, job orders and related papers pertaining to items manufactured for Yard stock.	Destroy 3 years after job is completed. (NC1-26-80-4), item 399b
	c. Controlled materials file containing the allocations of material to the various activities and projects.	Destroy when 2 years old. (NC1-26-80-4), item 399c
6	Plans and Construction Records for Floating Units built at Yard. (supersedes COMDTINST M5212.12, para. 400).	
	a. Working copies of ship boat and other plans.	Destroy when superseded or obsolete. (NC1-26-80-4), item 400a
	b. Master file of ship plans and index cards for same.	Destroy 1 year after disposal of cutter. (NC1-26-80-4), item 400b
	c. Construction progress photographs of cutters built at Yard.	Destroy 1 year after disposal of cutter. (NC1-26-80-4), item 400c
	d. Technical manuals and publications pertaining to cutters constructed at Yard.	Destroy 1 year after disposal of cutter. (NC1-26-80-4), item 400d

7	Repair and Alteration Records. (supersedes COMDTINST M5212.12, para. 401).	
	a. Photographs of repair and alteration jobs performed at Yard.	Destroy when superseded or obsolete. (NC1-26-80-4), item 401a
	b. ShipAlt and BoatAlt files showing authorized and mandatory alterations.	Destroy after last cutter or boat of class is disposed of. (NC1-26-80-4), item 401b
	c. Ordnance and electronics alterations files containing standardized operating procedures for authorized and mandatory alterations.	Destroy when superseded or obsolete. (NC1-26-80-4), item 401c
8	Manufacturers Files on Buoys, Artic Buildings, Rescue Apparatus, etc. Miscellaneous manufacturing files containing correspondence, job orders, specifications, and related material for the construction of buoys, arctic buildings, rescue apparatus, etc. (supersedes COMDTINST M5212.12, para. 402).	Destroy 5 years after project is completed. (NC1-26-80-4), item 402
9	Special Class Ships Records. Allowance lists pertaining to the allowance of equipment, spare parts, and supplies to ships of specified classes. (supersedes COMDTINST M5212.12, para. 403).	Destroy when superseded or obsolete or disposal of cutter. (NC1-26-80-4), item 403

CHAPTER 5

GENERAL ADMINISTRATION AND MANAGEMENT

SSIC 5000 - 5999

The records in this Chapter relate to performance of office and other administrative management functions throughout the U.S. Coast Guard, and to various techniques and programs to develop, control, and improve management processes. These techniques and programs relate to: organizational planning, management analysis, office methods, records, forms, reports, publications management and data processing systems. The records also pertain to the administration and performance of legal matters and military justice, as well as the Freedom of Information and Privacy Acts. See also General Records Schedules 12-14 and 16.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below shall not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An outstanding claim for or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

SSIC 5000 GENERAL ADMINISTRATION AND MANAGEMENT

DESCRIPTION

ITEM NO.	SSIC 5000 GENERAL ADMINISTRATION AND MANAGEMENT	AUTHORIZED DISPOSITION
1	Documents created by special staff offices at Headquarters relating to overall management and policy adoption of the Coast Guard and not covered under items 5219/5 of this schedule. (supersedes HQINST M5212.6A, para. 1).	Permanent. Transfer to FRC when 4 years old. Transfer to National Archives (NARA) when 20 years old. (NC1-26-76-2), item 1
	a. Originals of Coast Guard directives, significant background and printed copy. Also includes those issued by Area and District Commanders, and Commanding Officers of Headquarters Units. (supersedes HQINST M5212.6A, para.13 and COMDTINST M5212.12 para. 1a).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), items 13 and 1
	b. All other copies. (supersedes COMDTINST M5212.12 para. 1b).	Destroy when 2 years old. (NC1-26-76-2), item 1b
	c. Management Studies/Surveys files. One record copy of each feasibility study, management improvement study/survey, and other studies made to evaluate Coast Guard programs and proposed programs. Documents which have been microfilmed in accordance with GSA regulation concerning microfilming of permanent records. (supersedes HQINST M5212.6A, para. 1a(1), including (a) and (b)).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 1a(1)
	(1) Final Report	Permanent. Transfer to FRC 5 years after publication of the final report. Transfer to NARA when 20 years old. (NC1-26-76-2), item 1a(1)(a)
	(2) Interim and feeder reports, work papers and background files.	Destroy 2 years after publication of the final report or when usefulness has been served, whichever is later. (NC1-26-76-2), item 1a(1)(b)

2	Files, correspondence and research papers relating to formulation/promulgation of "USCG Regulations." (supersedes HQINST M5212.6A, para. 16).	Permanent. Transfer to FRC 1 year after superseded. Transfer to NARA 20 years after revision. (NC1-26-76-2), item 16
3	Scheduling, planning, and operating material for the Area and District Commanders Conference. (supersedes HQINST M5212.6A, para. 9).	Destroy 1 year after conference. (NC1-26-76-2), item 9
4	Project working papers, including background material studies, analyses, notes, rough drafts, interim reports and related papers pertaining to management projects, exclusive of documents covered in 5000/1 and 5730/1 and 2. (supersedes HQINST M5212.6A, paragraph 6).	Destroy 6 months after final action on project report or 3 years after completion of report if no final action taken. (NC1-26-76-2), item 6
5	Organization Manuals and Charts. (supersedes HQINST M5212.6A, para. 8).	Permanent. Transfer to FRC 1 year after superseded. Transfer to NARA 20 years after superseded. (NC1-26-76-2), item 8

ITEM NO.	SSIC 5040 INSPECTION RECORDS.	AUTHORIZED DISPOSITION
1	Audits by the General Accounting Office (GAO) and the Department of Homeland Security (DHS). General administrative correspondence on audit activities conducted at Headquarters, District offices, Headquarters units, afloat and ashore activities. (supersedes HQINST M5212.6A, para. 35a and COMDTINST M5212.12, para. 4).	Destroy when 5 years old. (NC1-26-76-2), item 4
2	GAO audit report files including audit reports, coordination papers, final agency replies, and related correspondence accumulated in connection with audits by GAO and Coast Guard activities. (supersedes HQINST M5212.6A, para. 35b).	Destroy Coast Guard action office copy when 10 years old, providing that recommended actions have been completed. Destroy other copies when 3 years old. (NC1-26-76-2), item 35b
3	Office of the Secretary of Homeland Security audit reports issued by DHS Director of Audits, coordination papers, and related documents accumulated in connection with preparing Coast Guard reply to DHS. (supersedes HQINST M5212.6A, para. 35c).	Destroy Coast Guard action office copy when 10 years old, providing that recommended actions have been completed. (NC1-26-76-2), item 35c

4	Inspection Reports.	
	a. Originals of Area and District Inspection Office Inspection Reports. (supersedes COMDTINST M5212.12, para. 6a).	Destroy after completion of 2 subsequent inspections or when administrative usefulness ends, whichever is sooner. (NC1-26-80-4), item 6a
	b. Copies of area and district inspection reports. (supersedes HQINST M5212.6A, para. 10).	Destroy after completion of 2 subsequent inspections. (NC1-26-76-2), item 10
5	Completed checklists. (supersedes COMDTINST M5212.12, para. 6b).	Destroy completed checklists and other background material when 2 years old, or when no longer required for administrative purposes, whichever is later. (NC1-26-80-4), item 6b
6	Inspection Schedule.	
	a. Material used for reference in inspecting office. (supersedes COMDTINST M5212.12, para. 6c(1)).	Destroy when superseded or obsolete. (NC1-26-76-2), item 6c(1)
	b. Material relating to a floating unit on reassignment to another jurisdiction. (supersedes COMDINST M5212.12, para. 6c(2).	Forward immediately all previous reports and associated items to gaining inspector**.** (NC1-26-80-4), item 6c(2)
	c. Inspection Historical File. (supersedes COMDINST M5212.12, para. 6c(3)).	Destroy 1 year after decommissioning or disestablishment of unit. (NC1-26-76-2), item 6c(3)

ITEM NO.	SSIC 5050 MEETINGS, CONFERENCES, CONVENTIONS AND VISITS	AUTHORIZED DISPOSITION
1	Scheduling, planning, and operating material for the Area and District Commanders Conference. (supersedes HQINST M5212.6A, para. 9).	Destroy 1 year after conference. (NC1-26-76-2), item 9

ITEM NO.	SSIC 5090 GENERAL ENVIRONMENTAL PROTECTION (See also Chapter 16)	AUTHORIZED DISPOSITION
1	Environmental Records. These records include any documents/databases, in both paper and electronic media, related to environmental protection, management and/or clean-up. All records construed to be "environmental." Include, but not are not limited to: hazardous waste management; pollution incidents/clean-up; environmental planning; spill response; and asbestos and/or any other chemicals/materials. (supersedes COMDTINST M5212.12, para. 442).	Retain indefinitely until further notice. Item 442

ITEM NO.	SSIC 5100 SAFETY AND OCCUPATIONAL HEALTH (See also Chapter 6)	AUTHORIZED DISPOSTION
1	General administrative correspondence and related material (excluding primary records) for the various activities pertaining to the safety programs. (supersedes HQINST M5212.6A, 332).	Destroy when 5 years old. (NC1-26-76-2), item 332

ITEM NO.	SSIC 5110 MAIL AND POSTAL AFFAIRS. See also GRS 12.	AUTHORIZED DISPOSITION
1	Postal records consisting of Post Office forms and supporting papers. (supersedes HQINST M5212.6A, para. 33).	Destroy when 2 years old. (NC1-26-76-2), item 33
2	Official Penalty Mail Reports. (supersedes HQINST M5212.6A, para. 34).	Destroy when 2 years old. (NC1-26-76-2), item 34

ITEM NO.	SSIC 5200 MANAGEMENT PROGRAMS AND TECHNIQUES	AUTHORIZED DISPOSTION
1	Management Improvement Reports. Copies of management improvement reports submitted to the Office of Management and Budget (OMB), and related analysis feeder reports. (supersedes HQINST M5212.6A, para. 32 and COMDTINST M5212.12, para. 3).	Destroy 2 years after submission of report. (NC1-26-80-4), items 32 and 3

ITEM NO.	SSIC 5211 FILING, MAINTENANCE, RETRIEVAL, AND PRIVACY ACT SYSTEMS	AUTHORIZED DISPOSTION
1	Privacy Act Requests Files. Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof. (GRS 14, item 21)	
	a. Correspondence and supporting documents (excluding the official file copy of the records requested if filed herein). (GRS 14, item 21a)	
	(1) Granting access to all the requested records.	Destroy 2 years after date of reply. (GRS 14, item 21a.)
	(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees. (GRS 14.21 2a(2) (a) and (b)	
	(a) Requests not appealed.	Destroy 2 years after date of reply. (GRS 14, item 21 2(a)a))
	(b) Requests appealed.	Destroy as authorized under Item 2 below.
	b. Denying access to all or part of the records requested.	
	(1) Requests not appealed.	Destroy 5 years after date of reply. (GRS 14, item 3(a))
	(2) Requests appealed.	Destroy as authorized under Item 2 below.

2	Privacy Act Amendment Case Files. Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g). (GRS 14, item 22).	
	a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.	Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later. (GRS 14, item 22a.)
	b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials. (GRS 14, item 22b).	Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later. **(**GRS 14, item 22b**).**
	c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record. (GRS 14/22.c).	Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later**.** (GRS 14, item 22c)
3	Privacy Act Accounting of Disclosure Files. Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable. (GRS.14, item 23).	Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later. **(**GRS 14, item 23)

4	Privacy Act Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester. (GRS14, item 24)	
	a. Registers or listings	Destroy 5 years after date of last entry. (GRS 14, item 24a)
	b. Other files.	Destroy 5 years after final action by the agency, or final adjudication by courts, whichever is later. (GRS 14, item 24b)
5	Privacy Act Reports Files. Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget and the Report on New Systems at all levels. (GRS 14, item 25)	Destroy when 2 years old. (GRS 14, item 25).

ITEM NO.	SSIC 5212 RECORDS DISPOSAL SYSTEMS (Includes transfer, retirement, storage, and destruction)	AUTHORIZED DISPOSITION
1	Records Management Files. Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere.	Destroy when 6 years old. (GRS 16, item 7)
2	Records disposition files including descriptive inventories; disposal authorization; schedules for retirement of records. (supersedes HQINST M5212.6A, para. 21).	Destroy when obsolete or superseded. (NC1-26-76-2), item 21
3	Statistical reports of records holdings. (supersedes HQINST M5212,6A, para. 22).	Destroy when 3 years old. (NC1-26-76-2) item 22

ITEM NO.	SSIC 5213 FORMS MANAGEMENT (includes formats)	
1	Forms functional files (one sample of each form used by CG). (supersedes HQINST M5212.6A, para. 17)	Destroy individual form copy when form is canceled or superseded. (NC1-26-76-2), item 17
2	Forms and related documents which have been microfilmed in accordance with the Federal Personnel Management Regulations (FPMR) requirements for non-permanent records. (supersedes HQINST M5212.6A, para. 18).	
	a. Paper document. (supersedes HQINST M5212.6A, para. 18a)	Destroy after microfilming and completion of quality control edit as outlined in FPRM 101-11-5 (NC1-26-76-2), item 18a
	b. Microfilm of paper document.	Destroy 1 year after obsolete or superseded. (NC1-26-76-2), item 18b

ITEM NO.	SSIC 5214 REPORTS MANAGEMENT	AUTHORIZED DISPOSITION
1	Copies of Management Improvement Reports submitted to the Office of Management and Budget, and related analysis feeder reports. (supersedes HQINST M5212.6A, para. 32).	Destroy 2 years after submission of report. (NC1-26-76-2), item 32
2	Information Collection Budget Files. Reports required by the Office of Management and Budget under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.	Destroy when 7 years old. (GRS 16, item 12)
3	Reports control files; case files on reports maintained for each report created, canceled or superseded. (supersedes HQINST M5212.6A, para. 19).	Delete 2 years after report is discontinued. (NC1-26-76-2), item 19

ITEM NO.	SSIC 5215 ISSUANCE SYSTEMS (includes directives). See 5000, item 1.	AUTHORIZED DISPOSITION

ITEM NO.	SSIC 5216 CORRESPONDENCE MANAGEMENT	AUTHORIZED DISPOSITION
1	General administrative correspondence files (excluding primary records), from various activities for the administration and general management of CG affairs. (supersedes HQINST, M5212.12, para. 2).	Destroy when 3 years old. (NCI-26-80-4), item 2

ITEM NO.	SSIC 5219 PUBLICATIONS MANAGEMENT	AUTHORIZED DISPOSITION
1	Records pertaining to accomplishment of job, containing requisition and related papers exclusive of requisitions on the Public Printer and records on services obtained outside the agency. (supersedes HQINST M5212.6A, para. 28).	Destroy 1 year after completion of job. (NCI-26-76-2), item 28
2	Files pertaining to planning standards, costs and related technical matters concerning printing and publication of Coast Guard material. (supersedes HQINST M5212.6A, para. 26).	Destroy when 2 years old. (NCI-26-76-2), item 26
3	Records relating to requisitions for printing. (supersedes HQINST M5212.6A, para. 25).	Destroy 2 years after completion or cancellation of requisition. (NCI-26-76-2), item 25
4	Correspondence and related papers on administration and operations for printing, binding, duplication and distribution of CG issuances. (supersedes HQINST M5212.6A, para. 27).	Destroy when 3 years old. (NCI-26-76-2), item 27
5	Publications (original of Letter of Promulgation, significant background and printed copy. (supersedes HQINST M5212.6A, para. 14).	Permanent. Transfer to FRC 5 years after publication of document. Transfer to NARA 20 years after publication of document. (NCI-26-76-2), item 14

ITEM NO.	SSIC 5230 AUTOMATIC DATA PROCESSING AND INFORMATION SYSTEMS	AUTHORIZED DISPOSITION
1	Copies of tabulations and statistical reports prepared for operating divisions by data systems services. (supersedes HQINST M5212.6A, para. 29).	Destroy when 2 years old. (NCI-26-76-2) item 29
2	Studies of specific applications of data processing and information retrieval techniques. (supersedes HQINST M5212.6a, para. 30).	Destroy 5 years after completion of study. (NCI-26-76-2) item 30
3	Electronic Records. Note: GRS 20 provides disposal authorization for certain electronic records and specified hard-copy (paper) or microform records that are integrally related to the electronic records. **GRS 20 does not cover all electronic records. Electronic records not covered by GRS 20 may not be destroyed unless authorized by a Standard Form 115 that has been approved by the National Archives and Records Administration (NARA).**	
	a. Files/ records relating to the creation, use, and maintenance of computer systems, applications, or electronic records. (GRS 20, item1)	
	(1) Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records.	Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 1a)
	(2) Electronic files or records used to create or update a master file, including, but not limited to work files, valid transaction files, and intermediate input/output records.	Delete after information has been transferred to the master file and verified. (GRS 20, item 1b)
	(3) Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.	Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 1c)
	b. Input/Source Records. (GRS 20, item 2)	

(1) Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA approved agency records schedule.	Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later. (GRS 20, item 2a)
(2) Electronic records, except as noted in item 3(b)(3), entered into the system during an update process, and not required for audit and legal purposes.	Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later. (GRS 20, item 2b)
(3) Electronic records received from another agency and used as input/ source records by the receiving agency, excluding records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.	Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or database, whichever is later. (GRS 20, item 2c)
(4) Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.	Delete after the necessary data have been incorporated into a master file. (GRS 20, item 2d)
c. Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule	.

(1) When hard copy records are retained to meet record keeping requirements.	Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 3b(1))
(2) When the electronic record replaces hard copy records that support administrative housekeeping functions.	Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later. (GRS 20, item 3b(2))
(3) Hard copy printouts created for short-term administrative purposes.	Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 3b(3)
d. Data Files Consisting of Summarized Information. Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after January 1, 1988, excluding data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval. (GRS 20, item 4)	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. Note: Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval. (GRS 20, item 4)
e. Records Consisting of Extracted Information. Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition schedule, excluding extracts that are: (GRS 20, item 5):	

(1) produced as disclosure-free files to allow public access to the data; or	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 5a)
(2) produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively.	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 5a) Note: (1) Records consisting of extracted information that was created from a master file or database that is unscheduled, or that was scheduled as permanent but no longer exists can no longer be accessed and may not be destroyed before securing NARA approval.
f. Print file. Electronic file extracted from a master file or database without changing it and used solely to produce hardcopy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 6).
g. Technical Reformat File. Electronic file consisting of data copied from a complete or partial master file or database made for the specific purpose of information interchange and written with varying technical specifications, excluding files created for transfer to NARA.	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 7)
h. Backup of Files. Electronic copy, considered by the agency to be a Federal record of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.	

(1) File identical to records scheduled for transfer to NARA.	Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to NARA and successfully copied. (GRS 20, item 8a)
(2) File identical to records authorized for disposal in a NARA-approved records schedule.	Delete when the identical records have been deleted, or when replaced by a subsequent backup file. (GRS 20, item 8b)
i. Finding Aids (or Indexes). Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, excluding records containing abstracts or other information that can be used as an information source apart from the related records.	Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later. (GRS 20, item 9)
j. Special Purpose Programs. Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, excluding special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to NARA.	Delete when related master file or database has been deleted. (GRS 20, item10)
k. Documentation.	
(1) Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule.	Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. (GRS 20, item11a).

(2) **Copies** of records relating to system security, including records documenting periodic audits or review and recertification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130.	Destroy or delete when superseded or obsolete. (GRS 20, item 11b)

Note: (1) Documentation that relates to permanent or unscheduled master files and databases is not authorized for destruction by this GRS. (2) See item 1a of this schedule for documentation relating to system testing.

l. Downloaded and Copied Data. Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.

(1) Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review.	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. (GRS 20, item 12a)
(2) Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.	Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.(GRS 20, item 12b)
(3) Metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.	Delete from the receiving system or device when no longer needed for processing.(GRS 20, item 12c)
m. Word Processing Files. Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microformed for recordkeeping purposes.	Delete from the word processing system when no longer needed for updating or revision. (GRS 20, item 13)

	n. Electronic Mail Records. Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper or microform for recordkeeping purposes.	Delete from the e-mail system after copying to a recordkeeping system. (GRS 20, item 14) Note: Along with the message text, the recordkeeping system must capture the names of sender(s) and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.
	o. Electronic Spreadsheets. Generated to support administrative functions or generated by an individual as background materials or feeder reports.	
	(1) When used to produce hard copy (paper or microfilm) that is maintained in organized files.	Delete when no longer needed to update or produce hard copy.
	(2) When maintained only in electronic form.	Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software that does not readily permit selective deletion, delete after the longest retention period has expired.
ITEM NO.	SSIC 5354 EQUAL OPPORTUNITY (See also Chapters 1 and 12)	AUTHORIZED DISPOSITION
1	Records created by the Office of Civil Rights documenting organizational development and administration of Civil Rights consisting of the following: (supersedes HQINST M5212.6A, para. 321).	
	a. Official record copy of each directive/publication issued by the office with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 321a

	b. Studies/Surveys conducted by the Office of Civil Rights.	
	(1) Studies/surveys which resulted in Coast Guard wide adoption of policy or management programs	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority; which did not result in CG-wide adoption of policy or management program.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 321b(a) and 321b(2)
	(b) Which are not forwarded to or published by a higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 321b(b)
2	General administrative correspondence, reports and related materials (excluding primary program records) for the various activities of civil rights. (supersedes HQINST M5212.6A, para 322).	Destroy when 5 years old. (NC1-26-76-2) item 322
3	Record material of a routine administrative or housekeeping nature. (supersedes HQINST M5212.6A, para. 323).	Destroy when 3 years old. (NC1-26-76-2) item 323
4	Records pertaining to contract and Title VI compliance including mediation material case files and related material. (supersedes HQINST M5212.6A, para. 324).	Destroy 15 years after subject contractor is no longer active. Transfer to FRC 5 years after inactivity. (NC1-26-76-2) item 324
5	Records created in receipt and processing of complaint and discrimination by civilian employees and military members. (supersedes HQINST M5212.6A, para. 325)	
	a. Civilian Employees	
	(1) Civilian Employees Official Equal Opportunity Case Files, as described by 5 CFR 713.222	Original submitted to the Department of Homeland Security for resolution and disposal according to their instruction. (NC1-26-76-2), item 325a(1)

	(2) Copies of case files to DHS per above item.	Destroy 1 year after final adjustment of the case by DHS or CG. (NC1-26-76-2), item 325a(2)
	b. Military members case files and all background documents pertaining to the case.	Destroy 4 years after final adjustment of case. (NC1-26-76-2), item 325b
6	Records of appeals and decisions in discrimination complaint cases. (supersedes HQINST M5212.6A, para. 326).	Destroy 5 years after final adjustment. (NC1-26-76-2), item 326
7	Periodic reports on program review and minority group employment, etc. (supersedes HQINST M5212.6A, para. 327).	Destroy when 10 years old. Transfer to FRC when 5 years old. (NC1-26-76-2), item 327
8	Seminar Reports. (supersedes HQINST M5212.6A, para. 328).	Destroy when 5 years old. (NC1-26-76-2), item 328
ITEM NO.	SSIC 5402 DELEGATION/SUCCESSION OF AUTHORITY	AUTHORIZED DISPOSTION
1	Files, research, and background material relating to delegation of authority to the Commandant. (supersedes HQINST M5212.6A, para. 12).	Permanent. Transfer to FRC 3 years after delegation approval. Transfer to NARA 20 years after delegation. (NC1-26-76-2), item 12
ITEM NO.	SSIC 5500 SECURITY (See General Records Schedule 18, Security and Protective Services Records)	
ITEM NO.	SSIC 5600 MICROGRAPHICS PUBLICATIONS, PRINTING, DUPLICATING, AND REPRODUCTION (See General Records Schedule 13, Printing, Binding, Duplication and Distribution Records and SSIC 5219 of this Chapter)	

ITEM NO.	SSIC 5720 EXTERNAL PUBLIC AFFAIRS (including Freedom of Information)	
1	Information Request Files. Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.	Destroy when 3 months old or when no longer needed, whichever is sooner. (GRS 14, item1)
2	Acknowledgment Files. Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.	Destroy 3 months after acknowledgment and referral. (GRS 14, item 2)
3	Freedom of Information Act (FOIA) Requests Files. Files created in response to requests for information under the Freedom of Information Act, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof. Correspondence and supporting documents (**excluding** the official file copy of the records requested if filed herein).	
	a. Granting access to all the requested records.	Destroy 2 years after date of reply. (GRS-14, item11a(1)
	b. Responding to requests for non-existent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.	Destroy 2 years after date of reply. (GRS-14, item11a(2)
	(1) Request not appealed.	Destroy 2 years after date of reply. (GRS-14, item 11a2(a))
	(2) Request appealed.	Destroy as authorized under Item 4 below. (GRS 14, 11a2(b))
	c. Denying access to all or part of the records requested.	
	(1) Request not appealed.	Destroy 6 years after date of reply. (GRS-14, item 11a3(a))

	(2) Request appealed.	Destroy as authorized under Item 4 below. (GRS 14, item 11a3(b))
4	FOIA Appeals Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.	
	a. Correspondence and supporting documents (**excluding** the file copy of the records under appeal if filed herein).	Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later. (GRS 14, item 12a).
	b. Official file copy of records under appeal.	Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is later. (GRS 14, item 12b).
5	FOIA Control Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purposes of request and name and address of requester.	
	a. Registers or listing.	Destroy 6 years after date of last entry. (GRS 14, item 13a)
	b. Other files.	Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later. (GRS14, item 13b)
6	FOIA Reports Files. Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, **excluding** annual reports to the Congress at the departmental or agency level.	Destroy when 2 years. (GRS14, item 14)

7	Mandatory Review for Declassification Requests Files created in response to requests for information under the mandatory review provisions of Executive Order (E.O.) 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof. Correspondence and supporting documents (**excluding** the official file copy of the records if filed herein, and sanitizing instructions, if applicable).	
	a. Granting access to all the requested records.	Destroy 2 years after date of reply. (GRS 14, item 31a(1))
	b. Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.	
	(1) Request not appealed.	Destroy 2 years after date of reply. (GRS 14, item 31a(2))
	(2) Request appealed.	Destroy as authorized under item 8 below.
	c. Denying access to all or part of the records requested	
	(1) Request not appealed.	Destroy 5 years after date of reply. (GRS 14, item 31a(3))
	(2) Request appealed.	Destroy as authorized under item 8 below.
8	Mandatory Review for Declassification Appeals Files created in responding to administrative appeals under the mandatory review provisions of E.O. 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.	

	a. Correspondence and supporting documents (excluding the official file copy of the records under appeal if filed herein).	Destroy 4 years after final determination by agency. (GRS 14, item 32a)
	b. Official file copy of records under appeal.	Dispose of in accordance with approved agency disposition instructions for the related records, or with related mandatory review request, whichever is later. (GRS 14, item 32b)
9	Mandatory Review for Declassification Control Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request, and name and address of requester.	
	a. Registers or listing.	Destroy 5 years after date. (GRS 14, item 33a)
	b. Other files.	Destroy 5 years after final action by the agency. (GRS 14, item 33b)
10	Mandatory Review for Declassification Administrative Files relating to agency implementation of mandatory review provisions of the current Executive Order on classified national security information, including notices, memoranda, correspondence and related records.	Destroy when 2 years. (GRS 14, item 35)
11	Mandatory Review for Declassification Reports Files. Reports relating to agency implementation of the mandatory review provisions of the current Executive Order on classified national security information, including annual reports submitted to the Information Security Oversight Office.	Destroy when 2 years old. (GRS 14, item 34)

ITEM NO.	SSIC 5730 CONGRESSIONAL AND LEGISLATIVE LIAISON	AUTHORIZED DISPOSITION
1	Congressional Relations Files	
	a. Correspondence, memorandum reports and associated material pertaining to relations with Congress on substantive Coast Guard programs. (supersedes HQINST M5212.6A, para. 4a).	Permanent. Office of origin record copy. Transfer to FRC when 10 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 4a
	b. All other congressional correspondence and extra copies of documents listed in 1a above. (supersedes HQINST M5212.6A, para. 4b). .	If signed by Commandant or Vice Commandant, retain for 1 year after member leaves Congress, then destroy. All others destroy 1 year after last session of applicable Congress. (NC1-26-76-2), items 4b(1) and (2)

ITEM NO	SSIC 5750 HISTORICAL MATTERS (See also Chapter 16)	AUTHORIZED DISPOSITION
1	Master files of photographs and slides of Coast Guard activities arranged by subject and presenting principally a pictorial history from World War II to the present including separate files of unreleased pictures and negatives of unreleased pictures – the original negative and a captioned print for each black and white image and the original color transparency or color negative, a captioned print, and an internegative (if one exists) for each color image. Also, duplicate prints of items above. (supersedes HQINST M5212.6A, para. 84).	Permanent. Transfer to NARA when 10 years old. (NC1-26-76-2), item 84 For duplicate prints, destroy when usefulness has been served. (NC1-26-76-2), item 84a
2	Historical files consisting of significant background material used to consolidate historical information into a published volume. Published volumes generally consist of Commandants Bulletins, Coast Guard Magazines, Highlights of Coast Guard operations such as Deep Freeze, Vietnam, and Coast Guard at War. (supersedes HQINST M5212.6A, para. 85).	Permanent. Transfer to NARA when 20 years old. (NC1-26-76-2), item 85

3	Historically significant Search and Rescue (SAR) Records.	
	a. Coast Guard cases identified as having historic significance due to the scope or nature of the case or cases involving prominent persons. (supersedes COMDTINST M5212.12, para. 296g).	Permanent. Forward to Headquarters (G-IPA). Transfer to NARA after 10 years. (NC1-26-80-4), item 296g(1)
	b. All other SAR cases not selected as having historical significance.	Destroy 10 years after final closing of the case. Transfer to FRC 3 years after final closing of the case. (NC1-26-80-4), item 296g(2)

ITEM NO	SSIC 5800 LAWS AND LEGAL MATTERS (See also Chapter 16)	AUTHORIZED DISPOSITION
1	Records created by the Chief Counsel documenting the organizational development and administration of the Office of Chief Counsel consisting of the following: (supersedes HQINST M5212.6A, para. 371).	
	a. Official record copy of each directive/publication issued by the office with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 371a
	b. Studies/Surveys conducted by the Office of Chief Council.	
	(1) Studies/surveys which resulted in Coast Guard wide adoption of policy or management programs	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 371b(1)(a)
	(b) Which are not forwarded to higher authority or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2), item 371b(1)(b)

	(2) Studies/surveys which did not result in Coast Guard side adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 371b(2)
2	Legal opinions rendered by the Chief Counsel. (supersedes HQINST M5212.6A, para. 378).	
	a. Major opinions concerning substantive decisions which have far reaching effect or precedential value.	Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item378a
	b. Opinions other than those covered in 5800/2a above.	Destroy 10 years after final opinion is rendered or when usefulness for reference or research is served. (NC1-26-76-2), item 378b
3	Files relating to all litigation by and against the United States in which the Coast Guard has interest. (supersedes HQINST M5212.6A, para. 374 and COMDTINST M5212.12, para. 173).	
	a. Official record.	Destroy 8 years after close of case. Transfer to FRC 1 year after close of case. (NC1-26-76-2), item 374 and (NC1-26-80-4), item 173a
	b. All other copies.	Destroy when 3 years old or when no longer needed for reference purposes. (NC1-26-80-4), item 173b
4	Copies of legal documents and related records pertaining to summary, special, and general court martial proceedings. (supersedes COMDTINST M5212.12, para. 168).	Destroy when 3 years old or when no longer needed for reference purposes, whichever is later. (NC1-26-80-4), item 168
5	Civil penalty appeals case files. (supersedes HQINST M5212.6A, para 382 and COMDTINST M5212.12, para. 169).	Destroy 10 years after case is closed. Transfer to FRC 5 years after case is closed. (NC1-26-76-2), item 382 (NC1-26-80-4), item 169

6	U.S. Coast Guard Public Rulemaking Dockets. Rulemaking regulations (dockets) used in the development, review and passage of Coast Guard rules and regulations as incorporated in 33 or 46 CFR. Included are Federal Register notices, public comments, public hearings documents, including verbatim transcripts or recordings. Coast Guard's internal analysis, studies, reports, and petitions for consideration. (supersedes HQINST M5212.6A, para. 594).	Permanent. Cutoff closed files annually. Transfer to the FRC when 2 years old. Transfer to NARA when 10 years old. (NC1-26-97-2), item 594
7	Files, correspondence and research papers relating to formulation/promulgation of "USCG Regulations." (supersedes HQINST M5212.6A, para. 16).	Permanent. Transfer to FRC 1 year after superseded. Transfer to NARA 20 years after revision. (NC1-26-76-2), item 16
8	Background Working Papers. This series includes staff briefing papers of Coast Guard and DHS officials, memoranda of record that document agency contact with industry interests, and Congress; intra-agency contact and comments; professional and international committees' interaction and participation; internal concurrences; supporting documentation; related reports, exhibits and analysis of comments received.	Permanent. Cut off closed files annually. Transfer to the FRC when 2 years old. Transfer to NARA when 10 years old. (NC1-26-97-2)
9	DOT Optical Disk Scanning Project. Selected dockets scanned into the DOT's optical disk system. (See item 6 above.) Coast Guard will follow disposition instructions approved for the system as cited in (N1-398-95-3).	Destroy paper files upon verification that the record copy information has been fully and 100% accurately converted to optical disk. Transfer record copy of files and related finding aids to the National Archives in an acceptable format when files are ten years old. Acceptable format may be optical images converted to paper, microform, magnetic tape, 3480 class tape cartridge or any other medium that meets the standards specified in Subchapter B of 36 CFR Chapter XII before transfer to NARA's legal custody with related finding aids. Prior to transfer, NARA and DOT will determine the medium in which records will be transferred. (NC1-26-97-2).

10	Board of Corrections of Military Records. Under the authority of 10 USC. Section 1552, the Board has the function to review all applications from former and current members of the CG to correct their military records. The records may be corrected by the removal of errors or injustices in discharges and reenlistment codes, fitness reports, promotion actions, disability matters or various kinds of benefits.	
	a. Application file consists of individual application, correspondence, evidentiary material and the board's final decision.	Transfer to FRC 3 years after final decision. Destroy 40 years after final decision. (N2-26-91-1)
	b. Reading Chronology File. Copies of correspondence used solely as a reading or reference file.	Destroy when 2 years old or when reference value has been exhausted. (N2-26-91-1)

ITEM NO.	SSIC 5810 MILITARY JUSTICE	AUTHORIZED DISPOSITION
1	Formal Boards of Investigation Index Cards arranged by individual name; vessel name or number, and subject category of particular investigative incident.	Permanent. Transfer directly to NARA when no longer needed for current operations. (NC1-26-94-4), items 375a and b
	a. Record of Summary Courts Martial 1950-52 and 1961-66 (12 cu. Ft.)	
	b. Records of Special Courts Martial 1951-1973. (28 cu. Ft.)	

ITEM NO.	SSIC 5813 COURT MARTIAL TRIALS	AUTHORIZED DISPOSITION
1	Courts- Martial Case Files. (supersedes HQINST M5212.6A, para. 384).	
	a. All General Courts- Martial and Special Courts involving Bad Conduct Discharge.	Permanent. Transfer to FRC 2 years after date of final action. Transfer to NARA 10 years after final action. (NC1-26-76-2), item 384a

	b. Special Courts Martial other than those involving Bad Conduct Discharges.	Destroy 10 years after date of final action. Transfer to FRC 2 years after date of final action. (NC1-26-76-2), item 384b
	c. Summary Court- Martial Files.	
	(1) Courts convened after 5 May 1950.	Destroy 10 years after date of final action. Transfer to FRC 2 years after date of final action. (NC1-26-76-2), item 384c(1)
	(2) Courts convened prior to 5 May 1950.	Permanent. Transfer to FRC 2 years after date of final action. Transfer the NARA 10 years after date of final action. (NC1-26-76-2,) item 384c(2)
2	Court of Military Review. (supersedes HQINST M5212.6A, para. 385).	Upon completion of review, transfer to appropriate case file and dispose of accordingly. (NC1-26-76-2), item 385
3	CG Court Martial Index Card Finding Aid.	
	a. Cards provide information on individual cases, specifically docket entries; name and SSN of the accused; alleged offenses; trial and decisions; sentences; and review by convening authority. Cards are arranged by type of court martial (special); summary; general court martial; courts martial referred to appellate review and thereunder alphabetically by surname of individual. (Accumulation: negligible.)	Permanent. (N1-26-89-01)
	(1) 1945-1988 cards.	Transfer to NARA in 2020.
	(2) Cards post-dating 1988	Transfer to NARA in 5 year blocks when 25-30 years old.
	b. CG Automated Quarterly Courts Martial Statistical Reports. Work file reporting individuals convicted by court martial, offense and judicial action.	Temporary. Destroy when no longer needed for current operations. (N1-26-89-01)

4	Contracts Appeals Case Files (supercedes HQINST M5212.6A, para. 386)	Destroy 10 years after close of case. Transfer to FRC after close of case. (NC1-26-76-2), item 386

ITEM NO.	SSIC 5830 COURTS OF INQUIRY AND INVESTIGATIONS	AUTHORIZED DISPOSITION
1	Formal Boards of Investigation. Includes significant loss (substantial or destruction of property or personal injury), Line of Duty of Investigation Boards of Survey and Casualty Investigation resulting from motor vehicle, aircraft, and vessel accidents. (supersedes HQINST M5212.6A, para. 375).	Permanent. Transfer to FRC 3 years after close of case. Transfer to NARA 20 years after final action is taken. (NC1-26-76-2), item 375
2	Formal Boards of Investigation Index Cards arranged by individual name, vessel name or number, and subject category of a particular investigative incident. (supersedes HQINST M5212.6A, para. 375a).	Permanent. Transfer directly to NARA when no longer needed for current operations. (NC1-26-76-2), item 375a
3	**Copies** of Formal Boards of Investigation. Includes significant (substantial loss or destruction of property or personal injury) Line of Duty Investigations-Boards Survey, and Casualty Investigations resulting from motor vehicle, aircraft and vessel accidents. (supersedes COMDTINST M5212.12, para. 171).	Destroy when 3 years old or when no longer needed for reference purposes, whichever is later. (NC1-26-80-4), item 171
4	Administrative reports including exhibits and final action sheets relating to incidents of minor importance. (supersedes HQINST M5212.6A, para. 376).	Destroy 4 years after close of case. Transfer to FRC after close of case. (NC1-26-76-2), item 376
5	Applications for patents by Coast Guard personnel and recommendations by the Chief Counsel and related correspondence and background papers, for which patents not issued. (supersedes HQINST M5212.6A, para. 377).	Destroy 20 years after legal opinion rendered. Transfer to FRC 10 years after legal opinion rendered. (NC1-26-76-2), item 377

ITEM NO.	SSIC 5900 OFFICE SERVICES	AUTHORIZED DISPOSITION
1	Background material relating to revisions of telephone directories and military personnel directories. (supersedes HQINST M5212.6A, para. 23)	Destroy 3 months after issuance of new directories. (NC1-26-76-2), item 23
2	Files containing shipping and receiving documents, inventory control records, space and maintenance material, procurement requests for services and equipment, and other related papers on the stores and services functions at Headquarters. (supersedes HQINST M5212.6A, para. 24).	Destroy when 3 years old. (NC1-26-76-2), item 24

CHAPTER 6

MEDICINE AND DENTISTRY

SSIC 6000 - 6999

The records in this Chapter relate to the development and administration of a medical care program for Coast Guard personnel, their dependents, and the administration of a health and safety program for civilian employees.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below shall not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An outstanding claim for or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

SSIC 6000 MEDICINE AND DENTISTRY

ITEM NO.	SSIC 6000 GENERAL	AUTHORIZED DISPOSITION
1	Records created by the Office of Health Services documenting the organizational development and administration of the Office of Health Services consisting of the following (supersedes HQINST M5212.6A, para. 341).	
	a. Official record copy of each directive/publication issued by the office with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 341a
	b. Studies/Surveys conducted by the Office of Health Services.	
	(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 341b(1)(a)
	(b) Which are not forwarded to higher authority or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2), item 341b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 341(2)
2	General administrative correspondence, reports and related material, excluding primary records. (supersedes HQINST M5212.6A, para. 342).	Destroy when 3 years old. (NC1-26-76-2), item 342
3	Routine correspondence of an administrative and housekeeping nature. (supersedes HQINST M5212.6A, para. 343).	Destroy when 3 years old. (NC1-26-76-2), item 343

4	Record of Public Health Service (PHS) Officers detailed to Coast Guard. (supersedes HQINST M5212.6A, para. 359 and COMDTINST M5212.12, para. 151).	Transfer records to Commission Personnel Operation Division, Parklawn Building, Room 4A-10, 5600 Fisher Lane, Rockville, MD 20852 upon completion of Coast Guard assignment. PHS Disposal Schedules apply. (NC1-26-76-2), item 359, and (NC1-26-80-4), item 151

ITEM NO.	SSIC 6150 HEALTH AND MEDICAL RECORDS	AUTHORIZED DISPOSITION
1	Official Military Health and Dental Record of Active and Reserve Personnel. The Official Military Health Record is part of the Official Military Personnel file and should be forwarded with that file for active duty and reserve personnel (supersedes COMDTINST M5212.12, para. 153a).	Handle in accordance with Chapter 4 of Medical Manual. Forward to Commandant (G-W) as appropriate, following separation. Headquarters transfer to the VA Center, St. Louis after separation. (NC1-26-80-4), item 153a Reappraisal pending.
2	Clinical Health Records. These records include documents pertaining to Coast Guard active duty military, reservists, military dependents, retirees, humanitarian, and foreign nationals' cases. Included are clinical folders for each individual containing medical and dental forms, and related documents of outpatient/inpatient treatment. (supersedes HQINST M5212.6A, para. 360 and COMDTINST M5212.12, para. 154).	
	a. Outpatient b. Inpatient	Forward file to COMDT (G-W) to be filed with the Official Health Record. Transfer to the VA Center, St. Louis after separation. Destroy 50 years from the date of latest document in record. (NC1-26-80-4), items 360a and 154a/ b. Reappraisal pending.
3	Medical X-rays. (70, X-ray film). (supersedes COMDTINST M5212.12, para. 153b).	File in individual's official HQ health record. Dispose of with official HQ health record. (NC1-26-80-4), item 153b
4	Medical X-rays, x-ray logs or their index records **other than 70mm X-ray film and entrance and separation X-rays covered above,** relating to military personnel	Destroy when five years old by salvaging. (NC1-26-80-4), items 353a and 153d

	and their dependents. (These X-rays consist of photographic negatives made with the aid of X-rays which are used in medical diagnosis to locate fractures, malformations and pathological conditions of tissue.) (supersedes HQINST M5212.6A, para. 353a and COMDTINST M5212.12, para. 153d).	
5	Photoflurographic logs such as NAVMED 1161. (supersedes COMDTINST M5212.12, para. 153e).	Destroy 10 years from date of latest entry. Transfer to FRC when 5 years old. (NC1-26-80-4), item 153e
6	Reports, logs, forms and index cards not otherwise provided for and used for the administration of medical activities and in the treatment of patients. (supersedes COMDTINST M5212.12, para. 153f).	Destroy 3 years after last entry. (NC1-26-80-4), item 153f
7	Military dependent clinical records, and humanitarian cases.	
	a. Outpatient	Transfer to NPRC (CPR) 111 Winnebago Street, St. Louis, MO 62118
	b. Inpatient	4 years after last activity. Destroy 25 years from the date of the latest document in record. (NC1-26-80-4), items 360b and 154b 1 and 2
8	Foreign Nationals and their dependents' clinical records. Includes individuals who use Coast Guard facilities for training, etc. (supersedes HQINST M5212.6A, para. 360c and COMDTINST M5212 para. 154c).	Provide a copy of the records to Head of the Household or to the Government of individual. Transfer original to NPRC (CPR) 111 Winnebago St., St. Louis, MO 63118 one year after last activity. Destroy 25 years from the date of the latest document in record. (NC1-26-76-2), items 360c and 154c
9	Military Dependents and Retirees.	
	a. Case files of Physical Evaluation Board's proceedings. (supersedes HQINST M5212.6A, para. 346 and COMDTINST M5212.12, para. 152b).	Destroy 1 year after final action is directed by the Commandant. (NC1-26-72-2), item 346 and (NC1-26-80-4), items 346 and 152b
	b. Index card of Physical Evaluation Board cases. (supersedes HQINST M5212.6A, para. 347 and COMDTINST M5212.12, para. 152c).	Destroy when 5 years old. (NC1-26-72-2), item 347 and (NC1-26-80-4), item 152c

	c. Medical Board Reports. (supersedes HQINST M5212.6A, para. 348a and b).	Original report filed in official HQ health record. Dispose of with official HQ health record. Destroy other copies when 2 years old. (NC1-26-76-2), items 348 a and b
	d. Reports of medical examination and reports of medical histories such as SF-88, SF-93. (supersedes HQINST M5212.6A, para. 349a and b).	Original report filed in HQ health record. Dispose of with official health record. Destroy other copies when 2 years old. (NC1-26-76-2), items 349a and b
	e. Daily Medical and Dental Appointment records. (supersedes HQINST M5212.6A, para. 344 and COMDTINST M5212.12, para. 145).	Destroy when 6 months old. (NC1-26-76-2), items 344 and 145
10	Civilian Employees Health Services Records.	
	a. Log or registers of visits to dispensaries, first aid rooms, and Health Units. (supersedes HQINST M5212.6A, para. 362).	
	(1) Where information is summarized.	Destroy 3 months after last date on log or register. (NC1-26-76-2), item 362a
	(2) Where information is not summarized elsewhere.	Destroy 2 years after date on log or register. (NC1-26-76-2), item 362b
	b. Health record case files comprising form, correspondence and related papers documenting employee medical history. (supersedes HQINST M5212.6A, para. 363).	Destroy 6 years after date of last papers in the file. (NC1-26-76-2), item 363
	c. Pre-employment physical examination Health Qualification Placement records, disability retirement examination. (supersedes HQINST M 5212.6A, para. 364).	Becomes a part of the Official Personnel Folders (SF-66) upon separation from the service. May be maintained separately from the folder prior to separation. (NC1-26-76-2), item 364
	d. Copies of statistical summaries and reports relating to employees health retained by reporting unit, and related papers. (supersedes HQINST M5212.6A, para. 365).	Destroy 2 years after date of summary or report. (NC1-26-76-2), item 365

	e. Reports, logs, and forms not otherwise provided for and used for the administration of medical activities and in the treatment of patients. (supersedes HQINST M5212.6A, para. 361 and 366, and COMDTINST M5212.12, para. 153f).	Destroy 3 years after last entry. (NC1-26-76-2), items 361,366, and 153f

ITEM NO.	SSIC 6200 PREVENTIVE MEDICINE	AUTHORIZED DISPOSITION
1	Laboratory Tests and Logs. All laboratory records and logs except as noted below: (supersedes COMDTINST M5212.12, para. 147).	Transcribe information to SF-600 and place in individual's health record. Destroy when 2 years old. (NC1-26-80-4), item 147
	a. Immunology tests and logs.	Destroy when 5 years old. (NC1-26-80-4), item 147a
	b. Pathology tests and logs	Destroy when 15 years old. (NC1-26-80-4), item 147b
2	International Certificate of Vaccination, PHS Form 731. (supersedes HQINST M5212.6A, para. 355 and COMDTINST M5212.12, para. 149).	Deliver Certificate to individual upon final separation from Coast Guard. (NC1-26-76-2), item 355 and (NC1-26-80-4), item 149
3	Prosthetic case records such as NAVMED 952. (supersedes HQINST M5212.6A, para. 356).	Destroy when 1 year old. (NC1-26-76-2), item 356

ITEM NO.	SSIC 6570 PHARMACY	AUTHORIZED DISPOSITION
1	Alcohol Prescription, Narcotic and Controlled Drug Logs. (supersedes HQINST M5212.6A, para. 358 and COMDTINST M5212.12, para. 150).	Destroy when 5 years old. (NC1-26-76-2), item 358 and (NC1-26-80-4), item 150
2	Prescription Records. Files containing general alcohol, narcotic, and barbiturate prescriptions required by Coast Guard personnel and their dependents. (supersedes HQINST M5212.6A, para. 357 and COMDTINST M5212.12, para. 148).	Destroy when 3 years old. (NC1-26-76-2), item 357 and (NC1-26-80-4), item 148

CHAPTER 7

FINANCIAL MANAGEMENT RECORDS

SSIC 7000 - 7999

The records described in this Chapter pertain to the financial management of the U. S. Coast Guard. They relate to budgeting, disbursing, appropriation, fund and cost accounting, property accounting, pay administration accounting, auditing, including internal and contract auditing, industrial fund accounting and financing, financial management reporting and statistics, and other comptroller type operations of appropriated and non-appropriated related funds. See also Chapters 1, 4 and 12 of this Manual, as well as General Record Schedules 2, 3, and 5-8.

Budgetary records, appropriations, funds, cost accounting and other fiscal accounting records should be cut off and disposed of on a fiscal year as opposed to a calendar year basis.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Chapter, records directly relating to matters listed below shall not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An unsettled claim by or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

In addition, records relating to fund authorizations under which a statutory violation is outstanding will not be destroyed until notification is received that the case has been closed. Any temporary extension of an approved retention period may be made only with the prior written approval of the National Archives and Records Administration (NARA), as set forth in 41 CFR101-11.406-8 and required by 44 U.S.C 3303a.

SSIC 7000 FINANCIAL MANAGEMENT RECORDS

ITEM. NO.	SSIC 7000 GENERAL	AUTHORIZED DISPOSITION
1	Fiscal, Accounting, and Supply records created by the Office of Comptroller documenting the organization, development, and administration of the Office of Comptroller consisting of the following: (supersedes HQINST M5212.6A, para. 170).	
	a. Official record copy of each directive/publication issued by the office with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 170a
	b. Studies/Surveys conducted by the Office of the Comptroller:	
	(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 170b(1)(a)
	(b) Which are not forwarded to higher authority or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2), item 170b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 170b(2)
2	Primary records containing formal policy and procedural issuances and developmental data on the planning and administration of the financial activities of the Coast Guard; case files of manuals, directives, regulations, standards, etc. (supersedes HQINST M5212.6A, para. 171).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 171

3	Background material and developmental data for publication covering fiscal procedures for appropriated funds and fiscal procedures for non-appropriated fund activities. (supersedes HQINST M5212.6A, para. 172).	Destroy 20 years after close of fiscal year (FY) in which issued. Transfer to FRC 5 years after close of FY in which issued. (NC1-26-76-2), item 172
4	General administrative correspondence, reports and related material (excluding primary records above) for the various activities of financial management not listed elsewhere. (supersedes HQINST M5212.6A, para. 173).	Destroy when 5 years old. (NC1-26-76-2), item 173
5	Correspondence files of a routine administrative or housekeeping nature. (supersedes HQINST M5212.6A, para. 174).	Destroy when 2 years old. (NC1-26-76-2), item 174
6	Interservice Support Agreements between CG and other government agencies. (supersedes HQINST M5212.6A, para. 203).	Destroy 3 years after expiration date. (NC1-26-76-2), item 203
7	Working files of directives and policy-making material pertinent to payment and claims activities. (supersedes HQINST M5212.6A para. 225 and COMDTINST M5212.12, para. 99h).	Destroy when obsolete or when superseded. (NC1-26-76-2), items 225 and 99h

ITEM. NO.	SSIC 7010 NONAPPROPRIATED FUNDS (NAF) See also Chapter 4	AUTHORIZED DISPOSITION
1	Letters of authorization for Coast Guard NAF activities. (supersedes COMDTINST M5212.12, para. 110a).	Destroy 3 years after disestablishment of exchange. (NC1-26-80-4), item 110a
2	Records of Coast Guard NAF property. (supersedes COMDTINST M5212.12, para. 110b).	Destroy 3 years after disposal of property. (NC1-26-80-4), item 110b
3	Records and supporting documents for administration of CG NAF activities including bank statements, checkbooks, cash books, cancelled checks, property and stock records, expenditure vouchers, purchase orders, vendors' invoices, payroll and personnel records, package store safe chits, daily activity records, guest register cards, stub requisitions, food and beverage cost control sheets, petty cash vouchers, reports and related papers. (supersedes COMDTINST M5212.12, para. 110c).	Destroy records 6 years, 3 months after period covered by the account. (NC1-26-80-4), item 110c

4	Original commissary reports. (See also Chapter 4) (District Office). (supersedes COMDTINST M5212.12, para. 110d).	Destroy when 3 years old. (NC1-26-80-4), item 110d
5	Copies of logistics records such as commissary reports, clothing reports, inventory reports, requisitions, invoices and vouchers, purchase orders on which delivery of material or services have been made, receipts for which the material or funds have been accounted for, and copies of all other related papers on which the required action has been completed; except those on file in the assistant disbursing officer's account. (supersedes COMDTINST M5212.12, para. 110e).	Destroy when 3 years old. (NC1-26-80-4), item 110e
6	Firearms and ammunition NAF records pertaining to purchase and sale of firearms and ammunition. (Disposal periods subject to change in accordance with current Bureau of Alcohol, Tobacco and Firearms directives).	
	a. Record of sale or other distribution of ammunition. (supersedes COMDTINST M5212.12, para. 111a).	Destroy 2 years after date of last entry. (NC1-26-80-4), item 111a
	b. Record of ammunition received. (supersedes COMDTINST M5212.12, para. 111b).	Destroy 2 years after date of last entry. (NC1-26-80-4), item 111b
	c. Firearms transaction forms. (Treasury Department Form 4473). (supersedes COMDTINST M5212.12, para. 111c).	Retain on licensed premises as an active file. Do not retire to FRC. (NC1-26-80-4), item 111c
	d. Record of acquisition and disposition of firearms. (supersedes COMDTINST M5212.12, para. 111d).	Retain on licensed premises as an active file. Do not retire to FRC. (NC1-26-80-4), item 111d
	e. Firearms or ammunition businesses succeeded by new licensee. (supersedes COMDTINST M5212.12, para. 111e).	Transfer all records to new owner/successor. Successor must obtain own Federal Firearms License. (NC1-26-80-4), item 111e
	f. "In-house" (Agency) change of business control or manager. (supersedes COMDTINST M5212.12, para. 111f).	All records remain with new manager. Notify regional regulatory administrator (ATF) of change of control. (NC1-26-80-4), item 111f

	g. Discontinued firearms or ammunition businesses. (supersedes COMDTINST M5212.12, para. 111g).	Transfer all records within 30 days after business is discontinued to the ATF regional regulatory Administrator in the region where business was operated. Where state law or local ordinance require the delivery of records to other responsible authority, the ATF regional administrator may arrange for delivery of the records to such authority. (NC1-26-80-4), item 111g

ITEM. NO.	SSIC 7050 HOST-TENANT RELATIONSHIPS RECORDS	AUTHORIZED DISPOSITION
1	Host/Tenant Agreements between Coast Guard and other government agencies. (supersedes HQINST M5212.6A, para. 204).	Destroy 3 years after expiration date. (NC1-26-76-2), item 204

ITEM. NO.	SSIC 7051 INTERSERVICE/AGENCY	AUTHORIZED DISPOSITION
1	Interservice Support Agreements between CG and other government agencies. (supersedes HQINST M5212.6A, para. 203).	Destroy 3 years after expiration date. (NC1-26-76-2), item 203

ITEM. NO.	SSIC 7100 BUDGETING	AUTHORIZED DISPOSITION
1	Coast Guard Budget Files. (supersedes HQINST M5212.6A, para. 5).	
	a. Budget estimates with internal justification relating to the financial requirements of the Coast Guard.	Permanent. Transfer to FRC 3 years after the close of the fiscal year covered by the budget. Transfer to NARA 20 years after close of the fiscal year. (NC1-26-76-2), item 5a
	b. Work papers, cost statements and rough data accumulated in preparation of annual budget estimates.	Destroy 3 years after close of fiscal year covered by the budget. (NC1-26-76-2), item 5b
	c. Apportionment and reapportionment schedules, proposing quarterly obligation under each authorized appropriation.	Destroy 2 years after close of fiscal year involved. (NC1-26-76-2), item 5c

ITEM. NO.	SSIC 7200 DISBURSING	AUTHORIZED DISPOSITION
1	Closed Obligation Documents. (supersedes HQINST M5212.6A, para. 187).	Destroy 6 years, 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account. (NCI-271-76-3), item 187
2	Closed Accounts Payable documents. (supersedes HQINST M5212.6A, para. 188).	Destroy 6 years, 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account. (NCI-217-76-3), item188
3	Accounts Receivable documents. (supersedes HQINST M5212.6A, para. 189).	Destroy 6 years, 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account. (NCI-217-76-3), item 189
4	Voucher Schedules with original invoices and supporting papers. (supersedes HQINST M5212.6A, para. 190).	Destroy 6 years, 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account. (NCI-217-76-3), item 190
5	Statement of Transaction, SF-244 (Account Current) with copies of paid voucher schedules, schedules of canceled checks, certificates of deposit, debt voucher, allotment listings, payrolls and other supporting papers. (supersedes HQINST M5212.6A, para. 191).	Destroy 6 years, 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account. (NCI-217-76-3), item 191
6	Accounts Current of State Department Disbursing Officer together with original invoices and supporting papers. (supersedes HQINST M5212.6A, para. 192).	Destroy 6 years, 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account. (NCI-217-76-3), item 192
7	Cross-Disbursing Statements of Transactions. Voucher copies supporting Cross-Disbursing Payments. (supersedes HQINST M5212.6A, para. 196 and 197).	Destroy when 6 years old. Transfer to FRC when 2 years old. (NC1-26-76-2), items 196 and 197
8	Cash Controls. (supersedes HQINST M5212.6A, para. 200).	Destroy when 10 years old. Transfer to FRC when 4 years old. (NC1-26-76-2), item 200

9	ADO's Cash Books and Subsidiary Accounts and Cashier Ledger Accounts. (supersedes COMDTINST M5212.12, para. 101).	Destroy 10 years after the close of the FY involved. (NC1-26-80-4), item 101

ITEM. NO.	SSIC 7220 MILITARY PAY	AUTHORIZED DISPOSITION
1	Closed Military Pay Records of active duty members. (supersedes HQINST M5212.6A, para. 227a and COMDTINST M5212.12, para. 99d).	Destroy 56 years after period covered by account. Transfer to FRC 6 months after period covered by account. (GAO-SCHED/5/1) (NC1-26-76-2), items 227a and 99d
2	Payroll files. Retired Pay and Personnel Accounting System. Produces monthly paychecks for retired military personnel, tax data information on magnetic tape for the Internal Revenue Service. W-2 tax withholding information forms to members, payroll change slips, and personnel statistical reports. (supersedes COMDTINST M5212.12, para. 99r).	Dispose of in accordance with user published guidance. (NC1-26-76-2, item 295). Item 99r
3	Copies of payroll, military. (supersedes COMDTINST M5212.12, para. 99c)	Destroy 6 months after end of the pay period. (NC1-26-80-4), item 99c
4	Voucher Schedules with Original Invoices and supporting papers. (supersedes HQINST M5212.6A, para. 190 and COMDTINST M5212.12, para. 99g).	Destroy 6 years, 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account. (NC1-26-76-2), items 190 and 99g
5	Uncollectible Overpayment Files. (supersedes HQINST M5212.6A, para. 230 and COMDTINST M5212.12, para. 99k).	Destroy 6 years, 3 months after date of determination of uncollectability. Transfer to FRC 2 years after date of determination. (NC1-26-76-2), items 230 and 99k
6	Supporting documents submitted by other services Disbursing Officers and Coast Guard Certifying Officers. (supersedes HQINST M5212.6A para. 231 and COMDTINST M5212.12, para. 99l).	Destroy 6 years, 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account. (NC1-26-76-2, item 231), items 231 and 99l

7	Accounts Receivable. (supersedes HQINST M5212.6A, para. 189 and COMDTINST M5212.12, para.99f).	Destroy 6 years, 3 months after period covered by the account. Transfer to FRC 3 years after collection action is completed. (NC1-26-76-2), items 189 and 99f

ITEM. NO.	SSIC 7300 APPROPRIATION, FUND, COST AND PROPERTY ACCOUNTING	AUTHORIZED DISPOSITION
1	The Large Unit Financial System (LUFS) provides simplified acquisition and accounting for the large units of the CG. The simplified acquisition functions include: entry of Purchase Requests (PRs); Purchase Orders (POs); Military Interdepartmental Purchase Requests (MIPRs); Blanket Purchase Agreements; bank card transactions and receiving reports; generation of standard forms; and entry of receiving reports when goods and services are received. The accounting functions include local maintenance of unit account balances, interface with the Coast Guard Finance Center (FINCEN) to exchange account and simplified acquisition data, reconciliation of accounts, and generation of financial reports for the units.	Storage of acquisition documents in electronic format for a period of six years, three months. (N1-26-01-1)

ITEM. NO.	SSIC 7303 ALLOTMENTS AND PROJECT ORDERS	AUTHORIZED DISPOSITION
1	Allotment Documents and Financial Plans. (supersedes HQINST M5212.6A, para. 198).	Destroy when 10 years old. Transfer to FRC when 4 years old. (NC1-26-76-2) item 198
2	Allotment Controls. (supersedes HQINST M5212.6A, para. 199).	Destroy when 10 years old. Transfer to FRC when 4 years old. (NC1-26-76-2) item 199

ITEM. NO.	SSIC 7330 ACCOUNTING REPORTS AND RETURNS	AUTHORIZED DISPOSITION
1	Service-wide appropriations and allotment status reports. (supersedes HQINST M5212.6A, para. 175).	Destroy fiscal year ending trial balance 10 years after close of FY; all others 5 years after close of FY. Transfer to FRC 2 years after close of FY. (NC1-26-76-2), item 175
2	General Ledger Trail Balances. (supersedes HQINST M5212.6A, para. 176).	Destroy fiscal year ending trial balance 10 years after close of FY; all others 5 years after close of FY. Transfer to FRC 2 years after close of FY. (NC1-26-76-2), item 176
3	Accounting Reconciliation Statements and copies of supporting documents. (supersedes HQINST M5212.6A, para. 177).	Destroy when 3 years old. (NC1-26-76-2), item 177
4	Copies of Accounts Current and Statements of Transactions. (supersedes HQINST M5212.6A, para. 180).	Destroy when 4 years old. (NC1-26-76-2), item 180
5	FHA mortgage insurance case files of terminated mortgages. (supersedes HQINST M5212.6A, para. 181).	Destroy 4 years after case files are closed. (NC1-26-76-2), item 181
6	Reconciliation Statements for Treasury Cash (TSF 6653) and work papers. (supersedes HQINST M5212.6A, para. 182).	Destroy when 4 years old. (NC1-26-76-2), item 182
7	Allotment Statute Reports, Registers of Transactions Allotments, Obligations and Expenditures (supersedes HQINST M5212.6A, para. 185).	Destroy when 10 years old. Transfer to FRC when 3 years old. (NC1-26-76-2), item 185
8	General Ledger Accounts and Journal Vouchers. (supersedes HQINST M5212.6A, para. 186).	Destroy when 10 years old. Transfer to FRC when 4 years old. (NC1-26-76-2), item 186
9	Accounting Posting Media. (supersedes HQINST M5212.6A, para. 201).	Destroy when 4 years old. Transfer to FRC when 1year old. (NC1-26-76-2), item 201

ITEM. NO.	SSIC 7400 PAY ADMINSTRATION AND PAYROLL AND LABOR ACCOUNTING	AUTHORIZED DISPOSITION
1	FICA Wage Credit and Federal income tax listings of Military personnel. FICA W-2 Wage Reporting. Provides a balancing and reporting system for active duty personnel at districts and HQ units; establishes direct input to the central FICA-W-2 system; provides FICA and income tax data; assists in adjusting payments made on estimated matching funds to the Social Security Administration; prepares magnetic tapes for the Social Security Administration, IRS, and Allotment System. (supersedes HQINST M5212.6A, para. 184 and COMDTINST M5212. 12 para. 99s).	Destroy when 50 years old. Transfer to FRC when 2 years old. (NC1-26-76-2), items 184 and 99s
2	Working files of directives and policy making material pertinent to payment and claims activities. (supersedes HQINST M5212.6A, para. 225).	Destroy when obsolete or superseded. (NC1-26-76-2), item 225
3	Work Order Files. Completed and pending work orders containing labor and material chits, cost recapitulation sheets and shop orders. (supersedes COMDTINST M5212.12, para. 107).	Destroy 3 years after completion of work. (NC1-26-80-4), item 107

ITEM. NO.	SSIC 7420 CIVILIAN PAYROLL ACCOUNTING	AUTHORIZED DISPOSITION
1	Copies of Comprehensive Listings (civilian) covering a pay period. (supersedes HQINST M5212.6A, para. 238).	Destroy after the third pay period. Originals are kept by FAA Aeronautical Center, Oklahoma City, OK. (NC1-26-76-2), item 238
2	Copies of Employee Service Record, Report Record. (supersedes HQINST M5212.6A, para. 239).	Destroy on receipt of subsequent listings. (NC1-26-76-2), item 239
3	Photostat copies of individual retirement records (SF 2806) for separated civilian personnel. (supersedes HQINST M5212.6A, para. 183).	Destroy when 4 years old. (NC1-26-76-2), item 183

4	Civilian Personnel Accounting system. A personnel record is maintained for each civilian employee. All units submit copies of forms SF-52 and SF-50 to HQ when data is centrally coded for computed input. The files supply the data needed to meet Department and minority personnel reporting requirements. Does not include the payroll function. (supersedes HQINST M 5212.6A, para. 293 and COMDTINST M5212.12, para. 99p).	Dispose of in accordance with published guidance (NC1-26-76-2), items 293 and 99p

ITEM. NO.	SSIC 7430 MILITARY PAYROLL ACCOUNTING	AUTHORIZED DISPOSITION
1	Military Personnel Accounting (JUMPS) contains comprehensive data for each active duty officer and enlisted member. The system provides personnel management reports, payroll, leave and earning statements, financial accounting and fund management reports, and other internal control audit reports. (supersedes HQINST M5212.6A, para. 294 and COMDTINST M5212.12, para. 99q).	Dispose of in accordance with user published guidance. (NC1-26-76-2), items 294 and 99q
2	Closed Military Pay Records of separated members. Transfer closed records to Commanding Officer, Pay and Personnel Center, (supersedes HQINST M5212.6A, para. 227 and COMDTINST M5212.12, para. 99a).	Pay and Personnel Center. Destroy 6 years, 3 months after period covered by the account. Transfer to FRC 3 years after period covered by the account. (NC1-26-80-4), items 227 and 99a
3	Commanding Officer's pay records orders with supporting papers. (supersedes COMDTINST M5212.12, para. 99b).	Destroy 2 years after GAO audit or when 3 years old, whichever is sooner. (NC1-26-80-4), item 99b
4	Copies of payroll, military. (supersedes COMDTINST M5212.12, para. 99c).	Destroy 6 months after end of the pay period. (NC1-26-80-4), item 99c
5	Closed Account Payable documents. (supersedes HQINST M5212.6A, para. 188 and COMDTINST M5212.12, para. 99e).	Destroy 6 years, 3 months after period covered by account. Transfer to FRC 3 years after period covered by account. (NC1-26-76-2), items188 and 99e

6	Claim files containing claims for military pay and allowances with supporting papers. (supersedes HQINST M5212.6A, para. 228 and COMDTINST M5212.12, para. 99i).	Destroy 6 years, 3 months after date of settlement. Transfer to FRC 2 years after date of settlement. (NC1-26-76-2), items 228 and 99i
7	Reserve Pay Files on decreased members (Final Payment, Date of Death). (supersedes HQINST M5212.6A, para. 233; COMDTINST M5212.12, para. 99m).	Destroy 6 years, 3 months after the date of settlement. Transfer to FRC 2 years after period covered by the account. (NC1-26-76-2), items 233 and 99m
8	Memorandum copies of Military Payrolls, Certification Sheets and Fiscal Schedules involved in Military Payroll processing. (supersedes HQINST M5212.6A, para. 234; COMDTINST M5212.12, para. 99n).	Destroy when 4 years old. (NC1-26-76-2), items 234 and 99n
9	Retired Military Pay Case Files. (supersedes HQINST M5212.6A, para. 237; COMDTINST M5212.12, para. 99o).	Destroy 25 years after termination of retirement status or payment of annuity of beneficiaries under the provisions of the Retired Serviceman's Family Protection Plan, and Survivors Benefit Plan, whichever is later. Transfer to FRC 2 years after termination of retirement or payment of annuity under RSFPP and SPB, whichever is later. (NC1-26-76-2), items 237 and 99o
10	Military Allotment System. Maintains a current file of authorized allotments for all active duty and retired members. Magnetic tape files are prepared monthly for the Treasury Department, when allotment checks and U.S. Savings Bonds are produced. (supersedes HQINST M5212.6A, para. 298 and COMDTINST M5212.12, para. 99t).	Dispose of in accordance with user published guidance. (NC1-26-76-2), items 298 and 99t
11	Jackets containing original allotment authorizations, original or copies of forms approving and disapproving of dependency allotments paid to dependents of active duty military personnel and pertinent information. (supersedes HQINST M5212.6A, para. 226).	Destroy 6 years, 3 months after the period covered by the account. Transfer to FRC 3 years after period covered by the account. (NC1-26-76-2), item 226
12	GAO Exception Files. (supersedes HQINST M5212.6A, para. 229 and COMDTINST M5212.12, para. 99j).	Destroy 5 years after completion of GAO waiver. (NC1-26-76-2), items 229 and 99j

13	Uncollectible over-payment files. (supersedes HQINST M5212.6A, para. 230).	Destroy 6 years, 3 months after the date of determination of collectibility. Transfer to FRC 3 years after date of determination. (NC1-26-76-2), item 230
14	Supporting documents submitted by Navy Disbursing Officers and Coast Guard Authorized Certifying Officers. (supersedes HQINST M5212.6A, para. 231).	Destroy 6 years, 3 months after the period covered by the account. Transfer to FRC 3 years after period covered by the account. (NC1-26-76-2), item 231
15	Schedule of payments (comprehensive machine listing with related statistical information) for active and inactive duty for training of Coast Guard Reserve Personnel. (supersedes HQINST M5212.6A, para. 232).	Destroy 6 years, 3 months after the period covered by the account. Transfer to FRC 3 years after period covered by the account. (NC1-26-76-2), item 232
16	Memorandum copies of military payrolls, certification sheets and fiscal schedules involved in military payroll processing. (supersedes HQINST M5212.6A, para. 234).	Destroy when 4 years old. (NC1-26-76-2), item 234
17	New normal pay listing for Retired Military Personnel. (supersedes HQINST M5212.6A, para. 240).	Destroy 6 years, 3 months after issue date. Transfer FRC 3 years after issue date. (NC1-26-76-2), item 240
18	Supporting document submitted by HQ Authorized Certifying Officers. (supersedes HQINST M5212.6A, para. 241).	Destroy 6 years, 3 months after the period covered by the account. Transfer to FRC 3 years after period covered by the account. NC1-26-76-2), item 241

ITEM. NO.	SSIC 7560 GENERAL CONTRACT AUDITING	AUTHORIZED DISPOSITION
1	Copies of contracts, purchase orders and related files on accounting data. (HQINST M5212.6A, para. 193).	Destroy 3 years after final action. (NC1-26-76-2), item 193
2	Contract appeals case files. (supersedes HQINST M5212.6A, para. 386).	Destroy 10 years after close of case. Transfer to FRC after close of case. (NC1-26-76-2), item 386

CHAPTER 8

ORDNANCE MATERIAL

SSIC 8000 - 8999

The records described in this Chapter relate to the design, development, production, and readiness of ordnance material and functions. They are accumulated by any shore activity or departmental office concerned with ordnance related functions involving any type of weapon system used by the Coast Guard. Records relating to research and development are covered in Chapter 3. Records relating to maintenance and other logistical matters are covered in Chapter 4.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below shall not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An outstanding claim for or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

SSIC 8000 ORDNANCE MATERIAL

ITEM NO.	SSIC 8000 GENERAL ORDNANCE MATERIAL AMMUNITION AND EXPLOSIVES	DISPOSITION
1	Originals of Coast Guard directives, significant background and printed copy. (supersedes HQINST M5212.6A para. 13).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-80-4), item 13
	a. Publications (original of Letter of Promulgation, significant background and printed copy). (supersedes HQINST M5212.6A para. 14).	Permanent. Transfer to FRC 5 years after publication of document. Transfer to NARA 20 years after publication of document. (NC1-26-80-4), item 14
2	Readiness Records. (supersedes COMDTINST M5212.6A para. 297).	
	a. Copies of requisition invoices pertaining to Ordnance and ASW.	Destroy when 2 years old. (NC1-26-80-4), item 297a
	b. Copies of Ordnance and ASW reports pertaining to pyrotechnics, ammunition and torpedoes.	Destroy when 2 years old. (NC1-26-80-4), item 297b
	c. General correspondence pertaining to Ordnance and ASW property, supply, engineering, explosive loading and operational matters with related papers.	Destroy when 2 years old. (NC1-26-80-4), item 297c

Records owners/users are authorized to transfer inactive/closed records to a Regional Archives citing Job Number NC-26-76 or NC-26-80, unless otherwise authorized.

CHAPTER 9

SHIPS DESIGN AND MATERIAL

SSIC 9000 - 9999

The records described in this Chapter relate to ship design, ship materials and related functions. They are accumulated by departmental offices concerned with naval engineering, and the design, construction and maintenance of Coast Guard vessels and cutters. See also Chapters 3, 4 and 16.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below shall not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An outstanding claim for or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

SSIC 9000 SHIPS DESIGN AND MATERIAL

ITEM NO.	SSIC 9000 GUIDANCE AND ADMINISTRATION (SHIP REQUIREMENTS)	AUTHORIZED DISPOSITION
1	Records created by the Office of Engineering documenting the organizational development and administration of the Office of Engineering consisting of the following: (supersedes HQINST M5212.6A, para. 101).	
	a. Official record copy of each directive/publication issued with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 101a
	b. Studies/Surveys conducted by the Office of Engineering.	
	(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs.	
	(a) Which are forwarded to higher authority and are included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 101b(1)(a)
	(b) Which are not forwarded to or published by a higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 101b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 101(2)
2	Naval Engineering Records. Correspondence, reports and related materials on cutter boat construction. (supersedes HQINST M5212.6A, para. 136).	Destroy 15 years after delivery of cutter. Transfer to FRC 10 years after delivery of cutter/boat. (NC1-26-76-2), item 136

3	Correspondence, reports and related materials on cutter/boat repair and maintenance (routine). (supersedes HQINST M5212.6A, para. 137).	Destroy when 5 years old. (NC1-26-76-2), item 137
4	Reports of cutter dry-docking repairs (CG-2926 or equivalent) (supersedes HQINST M5212.6A, para. 138).	Destroy when 20 years old. (NC1-26-76-2), item 138
5	Machinery allowance and repair lists. (supersedes HQINST M5212.6A, para. 146).	Destroy 10 years after life of cutter. Transfer to FRC 5 years after life of cutter. (NC1-26-76-2), item 146
6	Cutter and boat alteration records; case files. Class shipalts and boatalts. (supersedes HQINST M5212.6A, para. 141 and COMDTINST M5212.12, para. 81e).	Destroy 1 year after life of cutter or boat class. (NC1-26-80-4), items 141 and 81e
7	Cutter case files containing correspondence, memorandum, reports, plans, drydocking reports, contracts, and work authorizations pertaining to the acquisition, maintenance, repairs and construction of a particular cutter. (supersedes COMDTINST M5212.12, para. 81d).	Destroy 1 year after disposal of cutter. (NC1-76-80-4), item 81d
8	Boat Records, CG-2580. (supersedes HQINST M5212.6A, para. 144).	Destroy 5 years after boat disposal. (NC1-26-76-2), item 144
9	Boat Records and machinery indexes containing a general description of the hulls and main engines for boats under 65 feet in length, with descriptive information. (supersedes COMDTINST M5212.12, para. 81f).	Destroy when superseded or obsolete. (NC1-26-80-4), item 81f
10	Record of Cutters Characteristics. (supersedes HQINST M5212.6A, para. 145).	Destroy 10 years after life of cutter. (NC1-26-76-2), item 145
11	Copies of cutter and ordnance plans and specifications. (supersedes COMDTINST M5212.12, para 81a).	Destroy when superseded or obsolete, or after disposal of cutter. (NC1-26-80-4), item 81a
12	Copies of survey reports pertaining to serviceability of cutters. (supersedes COMDTINST M5212.12, para. 81b).	Destroy 1 year after transfer or disposal of cutter. (NC1-26-80-4), item 81b

13	Allowance lists pertaining to the allowance of equipment, spare parts, and supplies to cutters of specified classes. (supersedes COMDTINST M5212.12, para. 81c).	Destroy when superseded or 1 year after disposal of cutter. (NC1-26-80-4), item 81c
14	Cutter and boat plans and tracings and Booklet of General Plans, Line Drawings, etc. (supersedes HQINST M5212.6A, para. 143).	
	a. For first and last cutter/boat of a class and modifications which significantly deviate from others in the class.	Permanent. Transfer to NARA after disposal of the cutter/boat class. (NC1-26-76-2), item 143a
	b. All others.	Destroy 1 year after disposal of cutter/boat class. (NC1-26-76-2), item 143b
15	Cutter/boat evaluation and investigation case files, hull and machinery specifications. (supersedes HQINST M5212.6A, para. 142).	
	a. For first and last cutter/boat of a class and modifications that significantly deviate from others in class.	Permanent. Transfer to NARA after disposal of the cutter/boat class. (NC1-26-76-2), item 142a
	b. All others.	Destroy 1 year after disposal of the cutter/boat class. (NC1-26-76-2), item 142b
16	Hull and Machinery Files (supersedes COMDTINST M5212.12, para. 82).	
	a. Quarterly Hull and Machinery Reports and other reports pertaining to the condition, repair, and renewal of hull and machinery.	Destroy 3 years after transcribing into Hull History and Machinery History. (NC1-26-80-4), item 82a
	b. Machinery logs containing an operating record of installed equipment.	Destroy when 3 years old. (NC1-26-80-4), item 82b
17	Quarterly report of hull and machinery (repairs). (supersedes HQINST M5212.6A, para. 139)	Destroy when 5 years old. (NC1-26-76-2), item 139

18	Technical manuals; material failure reports. (supersedes HQINST M5212.6A, para. 140).	Destroy 3 years after life of equipment. (NC1-26-76-2), item 140
19	Original As Built drawings (tracings) of aids to navigation equipment and minor structures, oceanographic and maritime environmental protection (MEP) equipment and sensor systems. (supersedes HQINST M5212.6A, para. 147).	Permanent. Transfer to NARA 5 years after obsolescence. (NC1-26-76-2), item 147

ITEM NO.	SSIC 9040 SHIP SYSTEM MANAGEMENT	AUTHORIZED DISPOSITION
1	ADMEASUREMENT CASE FILES. (See also SSIC 16717). Files consist of application forms, plans, sketches, tonnage calculation sheets (CG-1410 or equivalent); copies of tonnage certificates; Headquarters decisions; approval letters; plans indicating unusual framing systems or other means of tonnage reduction; line plans; capacity plans or curve plans for vessels of 79 feet and larger that have not been issued and International Tonnage Certificates and other related materials. (supersedes HQINST M 5212.6A, para. 410h and COMDTINST M5212.12, para. 270).	Permanent. Transfer to FRC 1 year after vessel is scrapped. Transfer to NARA when 20 years old in 5 year blocks. (NC1-26-84-5), items 410h and 270

ITEM NO.	SSIC 9900 SHIP ASSEMBLY AND SUPPORT SERVICES	AUTHORIZED DISPOSITION
1	DOCKING REPORTS. Reports concerning the condition of the hull and all underwater attachments to the hull that are prepared whenever a vessel or cutter is placed in drydock for routine overhaul or emergency repairs. (supersedes COMDTINST M5212.12, para. 81g).	Destroy when 1 year after disposal of cutter. NC1-26-80-4), item 81g

CHAPTER 10

GENERAL MATERIAL RECORDS

SSIC 10000 - 10999

The records in this Chapter relate to general materials not covered in the specialized material series (such as ordnance, ships, aeronautical). They relate to personnel materials, general tools and machinery, electronic and electrical equipment, building materials, fuels, metals, photographic equipment and accessories, and other miscellaneous materials. See Chapters 1, 4, 12 and 16 for further details. See also, General Record Schedules 1-8.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below will not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An outstanding claim for or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

SSIC 10000 GENERAL MATERIAL

ITEM NO.	SSIC 10000 GENERAL. See Chapters 4, 7 and 16.	AUTHORIZED DISPOSITION
1	Originals of Coast Guard directives, significant background, and printed copy. (supersedes HQINST M5212.6A, para. 13).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 13
2	Specification files used for procurement of Coast Guard material. (supersedes HQINST M5212.6A, para. 109c).	Destroy when superseding specification is received. (NC1-26-76-2), item 109c

ITEM NO.	SSIC 10120 CLOTHING AND UNIFORMS. See Chapters 4 and 7.	AUTHORIZED DISPOSITION
1	Unit commissary and clothing reports. (supersedes HQINST M5212.6A, para. 195).	Destroy when 4 years old. (NC1-26-76-2), item 195
2	Monthly stores statement. (supersedes HQINST M5212.6A, para. 215).	Destroy when 3 years old. (NC1-26-76-2), item 215

CHAPTER 11

FACILITIES AND ACTIVITIES ASHORE

SSIC 11000 - 11999

The records in this Chapter relate to the planning and design, construction, acquisition, development, maintenance, administration, and disposition of structures and facilities. See also Chapters 4, 7 and 16, and General Records Schedules 9 and 15.

Records in this Chapter are explained in two columns, with series' descriptions appearing on the left and authorized dispositions on the right. Citations from superseded manuals in the left columns are from: The Maintenance, Transfer and Destruction of Headquarters Records, HQINST M5212.6A; and The Paperwork Management Manual, COMDTINST M5212.12. The General Records Schedules published by the National Archives and Records Administration (NARA) are cited in the right columns, when applicable. Management of records as reflected in the series descriptions and their dispositions is legally binding. No Federal records are authorized for destruction without NARA approval, granted only after: a thorough consideration of a record series used by the agency; the rights of the Government and of persons affected by the Government's activities; and whether or not they have historical value. Numbers cited in the right columns represent the NARA approval number.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below shall not be destroyed until final clearance or settlement of:

- ***An outstanding exception by the General Accounting Office (GAO);***
- ***An outstanding claim for or against the United States;***
- ***A case under litigation; or***
- ***An incomplete investigation.***

SSIC 11000 FACILITIES AND ACTIVITIES ASHORE

ITEM NO.	SSIC 11000-11099 GENERAL FACILITIES AND ACTIVITIES RECORDS	AUTHORIZED DISPOSITION
1	Originals of Coast Guard directives, significant background, and printed copy. (supersedes HQINST M5212.6A, para. 13).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 13

ITEM NO.	SSIC 11011 REAL ESTATE PROPERTY. See also Chapters 4, 7 and 16.	
1	Real Property Files (Site Files). (supersedes COMDTINST M5212.6A, para. 79).	
	a. Original deeds, and record copies of improvements on shore facilities, proceedings of Boards of Survey and correspondence.	Permanent. Cut off files after disposition of property. Transfer to NARA in 5 year blocks. (NC1-26-76-2), item 79a.
	b. Copies of records for improvement on shore facilities.	Destroy 3 years after facility is eliminated. (NC1-26-76-2), item 79b
	c. Copies of proceedings of the Boards of Survey with related correspondence.	Destroy 3 years after disposal of property. (NC1-26-76-2), item 79c
2	Title paper and easements and other records that constitute the Site Files for Coast Guard property. (supersedes (HQINST M5212.6A, para. 221).	Permanent. Cut off files after disposition of property. Transfer to NARA in 5 year blocks. (NC1-26-82-10), item 221
3	Boards of Survey (Site Files) relating to real and related personal property (land and appurtenance). (supersedes HQINST M5212.6A, para. 224).	
	a. Land and real property and related appurtenances. Files include easements, licenses and permits related to the particular property, correspondence relating historical significance of the property, vicinity map, plot plan, photographs, Attorney's Report of title, metes and bounds description of property, and all correspondence relating to the actual disposal.	Permanent. Cut off after final disposition of property. Transfer to NARA in 5-year blocks. (NC1-26-82-6), item 224a

	b. Appurtenances. Transactions of $1,000 or less.	Destroy 3 years after final endorsement. (NC1-26-76-2), item 224b
	c. Appurtenances. Transactions of more than $1,000 and less than $25,000.	Destroy 3 years after final endorsement. (NC1-26-76-2), item 224c
	d. Appurtenances. Transactions of $25,000 and over.	Destroy 3 years after final endorsement. (NC1-26-76-2), item 224d
4	Permits and licenses granted by the Coast Guard. (supersedes HQINST M5212.6A, para. 222).	Destroy 1 year after expiration. (NC1-26-76-2), item 222
5	Permits and licenses granted to the Coast Guard. (supersedes HQINST M5212.6A, para. 223).	Destroy 2 years after expiration. (NC1-26-76-2), item 223

ITEM NO.	SSIC 11101 FAMILY HOUSING RECORDS. See GRS 15.	AUTHORIZED DISPOSITION

ITEM NO.	SSIC 11200 TRANSPORTATON FACILITIES. See GRS 9.	AUTHORIZED DISPOSITION

CHAPTER 12

CIVILIAN PERSONNEL RECORDS

SSIC 12000 - 12999

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of Official Personnel Folders of civilian employees and other records relating to civilian personnel, wherever located in the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) for appraisal before these disposition instructions may be applied. The most important types of records, the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders, are maintained according to The Guide to Personnel Recordkeeping, an OPM manual that prescribes a system of recordkeeping for Federal personnel. See General Record Schedules 1 and 2 for further details.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below **shall not be destroyed** until final clearance or settlement of the case:

- An outstanding exception by the General Accounting Office (GAO);
- An outstanding claim for or against the United States;
- A case under litigation; or
- An incomplete investigation.

SSIC 12000 CIVILIAN PERSONNEL

ITEM NO.	SSIC 12000 GENERAL	AUTHORIZED DISPOSITION
1	Originals of Coast Guard directives, significant background and printed copy. (supersedes HQINST M5212.6A, para. 13).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 13
2	Correspondence and subject files relating to the administration and operation of personnel functions at District offices or Headquarters unit level. (supersedes HQINST M5212.6A, para. 602).	Destroy when 3 years old. (NC1-26-76-2), item 602

ITEM NO.	SSIC 12293 PERSONNEL RECORDS AND FILES	AUTHORIZED DISPOSITION
1	Official Personnel Folders (OPFs). Records filed on the **right** side of the OPF. Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention. (GRS 1, item 1). (supersedes HQINST M5212.6A, para. 608).	
	a. Transferred employees.	See Chapter 7 of The Guide to Personnel Recordkeeping for instructions relating to folders of employees transferred to another agency. GRS 1, item 1a
	b. Separated employees	Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO. 30 days after latest separation. NPRC will destroy 65 years after separation from Federal service.
2	Temporary Individual Employee Records. All copies of correspondence and forms maintained on the **left** side of the Official Personnel folder in accordance with Chapter 3 of The Guide to Personnel Recordkeeping	Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. GRS 1, item 10a

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3	Supervisors' Personnel Files and Duplicate OPF Documentation.	
	a. Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.	Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer. GRS 1, item 18a
	b. Duplicate Documentation. Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.	Destroy when 6 months old. GRS 1, item 18b

ITEM NO.	SSIC 12300 EMPLOYMENT	AUTHORIZED DISPOSITION
1	Offers of Employment Files. Correspondence, including letters and telegrams, offering appointments to potential employees. (GRS1, item 4)	GRS 1, item 4
	a. Accepted offers.	Destroy when appointment is effective. GRS 1, item 4a
	b. Declined offers:	
	(1) When name is received from certificate of eligibles.	Return to OPM with reply and application. GRS 1, item 4b(1)
2	Certificate of Eligibles. Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statements of reasons for passing over a preference eligible and selecting a nonpreference eligible. (GRS 1, item 5) (supersedes HQINST M5212.6A, para. 611).	Destroy when 2 years old. GRS 1, item 5, (NC1-26-76-2), item 611
3	Interview Records. Correspondence, reports, and other records relating to interviews with employees.	Destroy 6 months after transfer or separation of employee. GRS 1, item 8

4	Employment Applications. Applications, including Optional Form (OF) 612, resumes, and any other application that an agency may develop for unique jobs with specialized requirements, and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the OPF.	Destroy upon receipt of OPM inspection report or when 2 years old, whichever is earlier. GRS 1, item 15
5	Handicapped Individuals Appointment Case Files. Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM Chapter 306-11, subchapter 4-2.	Destroy 5 years following the date of approval or disapproval of each case. GRS 1, item 40

ITEM NO.	SSIC 12338 QUALIFICATION REQUIREMENTS, GENERAL	AUTHORIZED DISPOSITION
1	Examining and Certification Records. Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment. (GRS 1, item 33)	
	a. Delegated agreements.	Destroy 3 years after termination of agreement. GRS 1, item33a
	b. Correspondence concerning applications, eligible certification, and all other examining and recruiting operations including, but not limited to, correspondence from the Congress, White House, and general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.	Cut off annually. Destroy 1 year after cutoff. GRS 1, item 33b
	c. Test material stock control. Stock control records of examination test material, including running inventory of test material in stock.	Destroy when test is superseded or obsolete. GRS 1, item 33c
	d. Application Record Card (OPM Form 5000A, or equivalent).	Cut off after examination. Destroy no later than 90 days after cutoff. GRS 1, item 33d

e. Examination Announcement Case Files. Correspondence regarding examination requirements, original draft of examination, and announcements issued EXCLUDING records concerning qualification standards, job specifications, and their development.	Destroy 5 years after termination of related register. GRS 1, item 33e
f. Register of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).	Cut off records on individuals with terminated eligibility annually. Destroy 5 years after cut off. When entire register is terminated, destroy 5 years after termination date. (Registers established under case examining: Destroy after audit by local OPM service center or 90 days after final action is taken on the certificate, whichever is sooner.) GRS 1, item 33f
g. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).	Cut off annually. Destroy 1 year after cutoff. GRS 1, item 33g
h. Canceled and ineligible applications, supplemental forms, and attachments. Ineligible applications may be returned to the applicant with the notice of ineligibility, unless otherwise directed by the local OPM area office.	Destroy ineligible applications not returned and canceled applications 90 days after date of action or when register is terminated, whichever is sooner. GRS 1, item 33h
i. Test Answer Sheets. Written test answer sheets for both eligible and ineligibles. Filed by date of processing.	Destroy when 6 months old. GRS 1, item 33i
j. Lost or Exposed Test Material Case Files. Records showing the circumstances of loss, nature of the recovery action, and corrective action required.	Cut off files annually. Destroy 5 years after cutoff. GRS 1, item 33j
k. Eligible applications.	

(1) On active register.	Destroy upon termination of the register (except applications that may be brought forward to new register, if any). GRS 1, item 33k(1)
(2) On inactive register.	Destroy 1-12 months after eligibles are placed on inactive register, depending on space availability and difficulty of replacing the application for restoration. GRS 1, item 33k(2)
l. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.	Cut off annually. Destroy 1 year after cutoff. GRS 1, item 331
m. Certificate Files. SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: detailed rating schedule, record of selective and quality ranking factors used, list of those eligible screened for the vacancies, rating assigned, availability statements, and other documentation material designated by the examiner of retention. It is recommended that both the file copy and the audited report copy of the certificate be kept in this file. Files should be arranged to permit reconstruction or validation of actions taken in the event of appeal or legal action.	Cut off annually. Destroy 5 years after cutoff. GRS 1, item 33m
n. Certification request control index.	Cut off annually. Destroy 1 year after cutoff. GRS 1, item 33n
o. Interagency Placement Program (IPP) application and registration sheet.	Destroy upon expiration of employee's DEP eligibility. GRS 1, item 33o
p. Reports of audits of delegated examining operations.	Destroy 3 years after date of the report. GRS 1, item 33q

ITEM NO.	SSIC 12400 EMPLOYEE PERFORMANCE AND UTLIZATION AND CIVILIAN CAREER MANAGEMENT PROGRAMS	AUTHORIZED DISPOSITION
1	Employee Performance File System Records. (GRS 1, item 23)	
	a. Non-SES appointees (as defined in 5 U.S.C. 4301 (2)).	
	(1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected and all related documents.	Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice. GRS 1, item 23a(1)
	(2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.	Destroy when superseded. GRS 1, item 23a(2)
	(3) Performance-related records pertaining to a former employee.	
	(a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.	Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates. GRS 1, item 23a(3)(a)
	(b) All other performance plans and ratings.	Destroy when 4 years old. GRS 1, item 23a(3)(b)
	(4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.	Destroy 4 years after date of appraisal. GRS 1, item 23a(4)
	(5) Supporting documents.	Destroy 4 years after date of appraisal. GRS 1, item 23a(5)
2	Merit Promotion Case Files. Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.	Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner. GRS 1, item 32

ITEM NO	SSIC 12410 – TRAINING	AUTHORIZED DISPOSITION
1	Training records excluding records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense. (GRS 1, item 29)	
	a. General file of agency-sponsored training, excluding record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.	
	(1) Correspondence, memoranda, agreements, authorization reports, requirement reviews, plans and objectives relating to the establishment and operation of training courses and conferences.	Destroy when 5 years old or 5 years after completion of a specific training program. (GRS 1, item 29a(1)
	(2) Background and working files.	Destroy when 3 years old. GRS 1, item 29a(2)
	b. Employee training. Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other Government agencies or non-Government institutions.	Destroy when 5 years old or when superseded or obsolete, whichever is sooner. GRS 1, item 29b

ITEM NO.	SSIC 12451 – INCENTIVE AWARDS	AUTHORIZED DISPOSITION
1	Employee Award Files. (GRS 1, item 12)	
	a. General award records, EXCLUDING those relating to department-level awards.	
	(1) Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.	Destroy 2 years after approval or disapproval. GRS 1, item 12a(1)
	(2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.	Destroy when 2 years old. GRS 1, item 12a(2)

	b. Length of service and sick leave award files. Records including correspondence, reports, computations of service and sick leave, and lists of awardees.	Destroy when 1 year old. GRS 1, item 12b
	c. Letters of commendation and appreciation. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.	Destroy when 2 years old. GRS 1, item 12c
	d. Lists of or indexes to agency award nominations. Lists of nominees and winners and indexes of nominations.	Destroy when superseded or obsolete. GRS 1, item 12d
2	Incentive Awards Program. Reports pertaining to the operation of the Incentive Awards Program.	Destroy when 3 years old. GRS 1, item 13

ITEM NO.	SSIC 12500 POSITION CLASSIFICATION, PAY, AND ALLOWANCES	AUTHORIZED DISPOSITION
1	Position Classification Files.(GRS 1, item 7)	
	a. Position Classification Standards Files.	
	(1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.	Destroy when superseded or obsolete. GRS 1, item 7a(1)
	(2) Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM approval or disapproval.	
	(a) Case file.	Destroy 5 years after position is abolished or description is superseded. GRS 1, item 7a(2)(a)
	(b) Review File.	Destroy when 2 years old. GRS 1, item 7a(2)(b)
	b. Position Descriptions. Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.	Destroy 2 years after position is abolished or description is superseded. GRS 1, item 7b

c. Survey Files.

(1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.	Destroy when 3 years old or 2 years after regular inspection, whichever is sooner. GRS 1, item 7c(1)
(2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.	Destroy when obsolete or superseded. GRS 1, 7c(2)

d. Appeals Files.

(1) Case files relating to classification appeals, excluding OPM classification certificate.	Destroy 3 years after case is closed. GRS 1, item 7d(1)
(2) Certificates of classification issued by OPM.	Destroy after affected position is abolished or superseded. GRS 1, item7d(2)

ITEM NO.	SSIC – 12600 ATTENDANCE AND LEAVE	AUTHORIZED DISPOSITION
1	Time and Attendance Source Records. All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards; leave applications, including SF 71s (or equivalent); supporting documentation of requests and approvals of leave. (GRS 2, item 7)	Destroy after GAO audit or when 6 years old, whichever is sooner. GRS 2, item 7
2	Alternate Worksite Records. (GRS 1, item 42)	
	a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.	Destroy 1 year after end of employee's participation in the program. GRS 1, item 42a
	b. Unapproved requests.	Destroy 1 year after request is rejected. GRS 1, item 42b

	c. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.	Destroy when 1 year old, or when no longer needed, whichever is later. GRS 1, item 42c
3	Donated Leave Program Case Files. Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.	Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed. GRS 1, item 37

ITEM NO.	SSIC 12713 EQUAL EMPLOYMENT OPPORTUNITY	AUTHORIZED DISPOSITION
1	Equal Employment Opportunity (EEO) Records.	GRS 1, item 25
	a. Official Discrimination Complaint Case Files. Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearing and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by an U.S. court.	Destroy 4 years after resolution of case. GRS 1, item 25a
	b. Copies of Complaint Case Files. Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.	Destroy 1 year after resolution of case. GRS 1, item 25b
	c. Preliminary and Background Files.	
	(1) Background records not filed in the Official Discrimination Complaint Case Files.	Destroy 2 years after final resolution of case. GRS 1, item 25c(1)
	(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.	Destroy when 2 years old. GRS 1, item 25c(2)
	d. Compliance Records.	

(1) Compliance Review Files. Reviews, background documents, and correspondence relating to contractor employment practices.	Destroy when 7 years old. GRS 1, item 25d(1)
(2) EEO Compliance Reports.	Destroy when 3 years old. GRS 1, item 25d(2)
e. EEO General Files. General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.	Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. GRS 1, item 25g
f. EEO Affirmative Action Plans (AAP).	
(1) Agency copies of consolidate AAP(s).	Destroy 5 years from date of plan. GRS 1, item 25h(1)
(2) Agency feeder plan to consolidate AAP(s).	Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. GRS 1, item 25h(2)
(3) Report of on-site reviews of Affirmative Action Programs.	Destroy 5 years form date of report. GRS 1, item 25h(3)
(4) Agency copy of annual report of Affirmative Action accomplishments.	Destroy 5 years from date of report. GRS 1, item 25h(4)

ITEM NO.	SSIC 12800 - INSURANCE AND ANNUITIES, GENERAL	AUTHORIZED DISPOSITION
1	Retirement Assistance Files. Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.	Destroy when 1 year old. GRS 1, item 39

ITEM NO.	SSIC 12900 – GENERAL AND MISCELLANEOUS	AUTHORIZED DISPOSITION
1	Financial Disclosure Reports. Reports and related documents submitted by individuals as required under the Ethics in Government Act of 1978. (Pub. L. 95-521). (GRS 1, item 24)	
	a. All other statements of employment and financial interests and related records, including confidential statements filed under Executive Order 11222.	Destroy when 6 years old EXCEPT those documents that are needed in an ongoing investigation, which will be retained until no long needed in the investigation. GRS 1, item 24b

CHAPTER 13

AERONAUTICAL MATERIAL RECORDS

SSIC 13000 - 13999

The records in this Chapter relate to aeronautical systems, programs and materials and to the development, engineering, support, administration and operation of these systems, programs and materials. They are accumulated by the Headquarters offices and divisions, the Aircraft Repair and Supply Center (ARSC), area and district offices, air stations and other activities concerned with aeronautical materials. See also Chapter 16.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this manual, records directly relating to matters listed below **shall not be destroyed** until final clearance or settlement of the case:

- An outstanding exception by the General Accounting Office (GAO);
- An outstanding claim for or against the United States;
- A case under litigation; or
- An incomplete investigation.

SSIC 13000 AERONAUTICAL AND ASTRONAUTICAL

ITEM NO.	SSIC 13000 GENERAL AERONAUTICAL ENGINEERING RECORDS	AUTHORIZED DISPOSITION
1	Records recreated by the Office of Engineering documenting organizational development and administration of the Office of Engineering consisting of the following: (supersedes HQINST M5212.6A, para. 101).	
	a. Official record copy of each directive/publication issued by the Office of Engineering with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 101a
	b. Studies/Surveys conducted by the Office of Engineering	
	(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management programs	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 101b(1)(a)
	(b) Which are not forwarded to or published by a higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2), item 101b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 101b(2)
2	General correspondence files, excluding primary records, accumulated by engineering activities in carrying out their programs. (supersedes HQINST M5212.6A, para. 102).	Destroy when 5 years old. (NC1-26-76-2), item 102

3	Routine correspondence of a general administrative or housekeeping nature. (supersedes HQINST M5212.6A, para.10 3 and COMDTINST, M5212.12, para. 103).	Destroy when 3 years old. (NC1-26-76-2), item 103
4	<u>Coast Guard Aircraft Repair and Supply Center</u> Aircraft Plans, Specifications, Production and Related Modification, Overhaul and Repair Records	
	a. Routine production records pertaining to the repairing, fabricating or manufacturing of aircraft, electronic equipment and related items. (supersedes COMDTINST M5212.12, para. 382a).	Destroy 6 months after aircraft or last group of aircraft is disposed of from Coast Guard. (NC1-26-80-4), item 382a
	b. Records consisting of correspondence, plans and specifications pertaining to the overhaul, modification and repair of individual aircraft, groups of aircraft, electrical systems, electronic equipment, and related items. (supersedes COMDTINST M5212.12, para. 382b).	Destroy after aircraft or last group of aircraft is disposed of from Coast Guard. (NC1-26-80-4), item 382b
	c. Planning and accomplishment records on overhaul and modification programs with estimated and actual production data. (supersedes COMDTINST M5212.12, para. 382c).	Destroy when 10 years old, or 1 year after disposal of such aircraft from Coast Guard. (NC1-26-80-4), item 382c
	d. Correspondence, plans, specifications, and related materials pertaining to aircraft or modifications thereto developed by the Coast Guard. (supersedes COMDTINST M5212.12, para. 382d).	Permanent. Transfer to NARA 20 years after retirement to FRC. Transfer to FRC 5 years after completion of modification. (NC1-26-80-4), item 382d
	e. Stock Records	
	(1) Stock record card. (supersedes COMDTINST M5212.12, para. 382e).	Destroy 1 year after discontinuance of item or 1 year after stock balance is transferred to a new card. (NC1-26-80-4), item 382e(1)
	(2) Computer stock record files.	Delete from computer record 1 year after discontinuance of stocking of item. (NC1-26-80-4), item 382e(2)

5	Training and Examination Records (supersedes COMDTINST M5212.12, para. 383)	
	a. Test marks and results of examinations of individual trainees.	Destroy when 2 years old. (NC1-26-80-4), item 383a
	b. Individual training test papers.	Destroy 1 month after grading. (NC1-26-80-4), item 383b
	c. Master file of examination material.	Destroy when revised or when superseded or obsolete. (NC1-26-80-4), item 383c
	d. Training manuscripts originated at school (one copy).	Destroy 5 years after discontinuance of course. (NC1-26-80-4), item 383d

ITEM NO.	SSIC 13090 LOGS AND RECORDS	AUTHORIZED DISPOSITION
1	Drawings, specifications and photographs of aircraft, engines and other aeronautical equipment developed by the Coast Guard. (supersedes HQINST M5212.6A, para. 104).	Permanent. Transfer to FRC 3 years after equipment is no longer in use. Transfer to NARA 15 years after equipment is no longer in CG use. (NC1-26-76-2), item 104
2	Drawings, specifications and photographs of aircraft, engines and other aeronautical equipment used in but NOT developed by the Coast Guard. (supersedes HQINST M5212.6A, para. 105).	Destroy at Headquarters 1 year after equipment is no longer in use in Coast Guard. (NC1-26-76-2), item 105
3	Reports of unsatisfactory or defective material and reports of aircraft and engines maintenance, use and effectiveness. (supersedes HQINST M5212.6A, para. 106).	Destroy at Headquarters 1 year after equipment is no longer in use in Coast Guard. NC1-26-72-2), item 106
4	Copies of construction and procurement contracts with related material. (supersedes HQINST M5212.6A, para. 107).	Destroy 5 years after completion of contract. (NC1-26-76-2), item 107
5	Aircraft Accident and Incidents reports (supersedes COMDTINST M5212.6A, para. 293). Note: For SAR aircraft information, see Chapter 16, SSIC 16112.	Destroy when 3 years old. (NC1-26-76-2), item 293

CHAPTER 16

COAST GUARD MISSIONS

SSIC 16000 - 16999

The records in this Chapter relate to the mission specific records of the U.S. Coast Guard and include: Search and Rescue; Ice Operations; Enforcement of Laws and Treaties; Commercial Vessel Safety; Marine Environmental Protection; Aids to Navigation; Bridge Administration; Recreational Boating Safety; General Engineering (including civil, electronics and ocean engineering); and Port Safety and Security. See also Chapters 1 and 4.

Some exceptions to disposal standards are necessary. Regardless of authorizations in this Manual, records directly relating to matters listed below **shall not be destroyed** until final clearance or settlement:

- An outstanding exception by the General Accounting Office (GAO);
- An outstanding claim for or against the United States;
- A case under litigation; or
- An incomplete investigation.

SSIC 16000 COAST GUARD MISSIONS

ITEM NO.	SSIC 16000 GENERAL COAST GUARD MISSION RECORDS	AUTHORIZED DISPOSITION
1	Primary Program Records. Records created by Coast Guard mission offices documenting organizational development and administration.	
	a. Originals of Coast Guard directives, significant background and printed copy. (supersedes HQINST M5212.6A, para. 13).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 13
	b. Studies/Surveys. Management studies files. One record copy of each feasibility study, management improvement study/survey, and other studies made to evaluate Coast Guard programs and proposed programs. Documents which have been microfilmed in accordance with GSA regulation concerning microfilming of permanent records. Final Report. (supersedes HQINST M5212.6A, para. 1a(1)(a)).	Permanent. Transfer to FRC 5 years after publication of the final report. Transfer to NARA when 20 years old. (NC1-26-76-2), item 1a(1)(a)
	c. Interim and feeder reports, work papers and background files. (supersedes HQINST M5212.6A, para. 1a(1)(b)).	Destroy 2 years after publication of the final report or when usefulness has been served, whichever is later. (NC1-26-76-2), item 1a(1)(b)
2	Master press releases and release distribution files. (supersedes HQINST M5212.6A, para. 86).	Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 86
3	Public releases. Public releases issued by the Public Affairs Officer. (supersedes COMDTINST M5212.12, para. 49).	Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 20 years old in 5 year blocks. (NC1-26-80-4), item 49
4	General reference file containing correspondence, memoranda, media clippings and articles, other processed and printed material concerning Coast Guard activities used as reference material in the work of the Public Affairs Officer. (supersedes COMDTINST M5212.12 para. 53).	Destroy when superseded or obsolete. (NC1-26-80-4), item 53
5	Biographical data containing photographs and press releases concerning individual service personnel. (supersedes COMDTINST M5212.12, para. 50).	Destroy when superseded or obsolete or when individual is transferred or separated. (NC1-26-80-4), item 50

6	Photograph files. Photographic negative, prints and motion picture film of Coast Guard vessels, units and activities. (supersedes COMDTINST M5212.12, para. 51).	
	a. Motion picture film.	Permanent. Forward to Commandant (G-IPA) when 5 years old. Transfer to NARA when 10 years old. (NC1-26-80-4), item 51
	b. Still pictures, negative, and prints.	Permanent. Forward to Commandant (G-IPA) when 5 years old. (NC1-26-80-4), item 51
7	Radio, television, and motion picture productions. (supersedes HQINST M5212.6A, para. 88).	
	a. Motion pictures. The original negative or color original plus separate optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print for each motion picture.	Permanent. Transfer to NARA when 10 years old, or when obsolete, whichever occurs first. (NC1-26-76-2), item 88a
	b. Sound recordings. The master tape, metric or stamper, and one disc pressing for each conventional mass produced multiple copy disc recording, and the original tape for each magnetic audio tape recording.	Permanent. Transfer to NARA when 10 years old or when obsolete, whichever occurs first. (NC1-26-76-2), item 88b
	c. Video recordings. The original or the earliest generation of each recording or a kinetoscope of the recording.	Permanent. Transfer to NARA when 10 years old or when obsolete, whichever occurs first. (NC1-26-76-2), item 88c
	d. Finding aids and production documentation. Existing finding aids such as data sheets, shot list, catalogs, indexes, and other textual documentation necessary for the proper identification, retrieval, and use as production case files or similar files which include copies of production contracts, scripts, transcripts, or other documentation bearing on the origin, acquisition release or ownership of the audiovisual production.	Permanent. Transfer to NARA when 10 years old or when obsolete, whichever occurs first. (NC1-26-76-2), item 88d
	e. Additional duplicate prints of (a) and additional duplicate recordings of (b) and (c).	Destroy when 10 years old or when obsolete, whichever occurs first. (NC1-26-76-2), item 88e

	f. Duplicate motion pictures, video tape recordings, and sound recordings.	Destroy when 10 years old or when obsolete whichever occurs first. Transfer to FRC when 5 years old. (NC1-26-76-2), item 88f
8	Stock Motion Picture Footage of Coast Guard Units and Activity. (supersedes HQINST M5212.6A, para. 90)	
	a. Original negative or color print original and work print.	Permanent. Transfer to NARA when 10 years old. (NC1-26-76-2), item 90a
	b. Existing finding aids, published or unpublished, such as data sheets, shot lists, scenarios, review sheets, catalogs, indexes, scene descriptions, and other textual documentation that is necessary for the proper identification, retrieval, and uses of the footage.	Permanent. Transfer to NARA when 10 years old. (NC1-26-76-2), item 90b
9	Master files of photographs and slides of Coast Guard activities arranged by subject and presenting principally a pictorial history from World War II to the present, including separate files of unreleased pictures and negatives of unreleased pictures – the original negative and a captioned print for each black and white image and the original color transparency or color negative, a captioned print, and an internegative (if one exists) for each color image. Duplicate prints of items above. (supersedes HQINST M5212.6A, para. 84).	Permanent. Transfer to NARA when 10 years old. (NC1-26-76-2), item 84 For duplicate items, destroy when usefulness has been served. (NC1-26-76-2), item 84a
10	Historical files consisting of significant background material used to consolidate historical information into a published volume. Published volumes generally consist of Commandants Bulletins, Coast Guard Magazines, Highlights of Coast Guard operations such as Deep Freeze, Vietnam, and Coast Guard at War, etc. (supersedes HQINST M5212.6A, para. 85).	Permanent. Transfer to NARA when 20 years old. (NC1-26-76-2), item 85
11	Correspondence pertaining to exhibits shown at boat shows, fairs, etc. (supersedes HQINST.M5212.6A, para. 87).	Destroy when 5 years old. (NC1-26-76-2), item 87
12	Speeches, slide talks, and manuscripts. (supersedes HQINST M5212.6A, para 89).	Permanent. Transfer to NARA when 15 years old. (NC1-26-76-2), item 89

13	Minutes of regional and national boating administrators meeting (copies). (supersedes HQINST M5212.6A, para 77).	Destroy when 5 years old. (NCI-26-76-2), item 77

ITEM NO.	SSIC 16100 SEARCH AND RESCUE	AUTHORIZED DISPOSITION
1	Correspondence files containing inquiries from congressional and civilian personnel about current operational activities. (supersedes HQINST M5212.6A, para. 469).	Destroy when 10 years old. Transfer to FRC when 2 years old. (NCI-26-76-2), item 469
2	Case files established for each SAR case conducted consisting of all significant information necessary to document the case from inception of the case to final closing of the case. Historically significant cases: Cases identified as having historical significance due to the scope or nature of the case or cases involving prominent persons. (supersedes COMDTINST M5212.12, para. 296g).	Permanent. Forward to Headquarters (G-IPA). (NC1-26-80-4), item 296g(1)
	b. All other cases files not selected as having historical significance.	Destroy 10 years after final closing of the case. Transfer to FRC 3 years after final closing of the case. (NC1-26-80-4), item 296g(2)
3	Master files of Interagency Committee on Search and Rescue (ICSAR) Meetings, Establishment Membership. (supersedes HQINST M5212.6A, para 473).	Permanent. Transfer to FRC when 15 years old. Transfer to NARA when 20 years old. (NCI-26-76-2), item 473
4	Copies of minutes of Interagency Groups for International Aviation (ICAO). (supersedes HQINST M5212.6A, para. 471).	Destroy when 2 years old, after removal of items of historic value and transfer to Coast Guard Historian. (NCI-26-76-2), item 471
5	Copies of Intergovernmental Maritime Consultative Organization (IMCO) SAR documents and correspondence. (supersedes HQINST M5212.6A, para. 472).	Destroy when 5 years old, after removal of items of historic value and transfer to Coast Guard Historian. (NCI-26-76-2), item 472

6	Copies of International Civil Aviation Organization files (ICAO) consisting of manuals published by the organization, preparation for meetings, records of significant meetings, etc. (supersedes HQINST M5212.6A, para. 470).	Destroy as superseded. (NCI-26-76-2) item 470
7	International Civil Aviation Organization forms and reports. (supersedes HQINST M5212.6A, para. 490).	Destroy when 5 years old. (NCI-26-76-2), item 490

ITEM NO.	SSIC 16104 SAR PLANS	AUTHORIZED DISPOSITION
1	CG originated operations plans and orders for all special patrols and operations. (supersedes HQINST M5212.6A, para. 491).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 10 years old. (NCI-26-76-2), item 491
2	Non-CG originated plans and orders for all special patrols and operations. (supersedes HQINST M5212.6A, para. 492).	Destroy when 5 years old. (NCI-26-76-2), item 492

ITEM NO.	SSIC 16106 SAR RECORDS	AUTHORIZED DISPOSITION
1	Unit Logs.	
	a. Transcripts of logs of lightships, light stations and vessels maintained at Operations Division. (supersedes COMDTINST M5212.12 para 296a(1))	Destroy when 1 year old. (NC1-26-84-1), item 296a(1)
	b. Transcripts of logs for vessels and shore units. (supersedes COMDTINST M5212.12 para 296b)	Destroy when 1 year old. (NC1-26-84-1), item 296b(2)
2	Large Shore Unit Logs. Units found in this section include Air Stations and Detachments, SAR Groups, Section Offices, Bases, Group Offices, Supply Depots, Port Security Units, and Captain of Port Offices (supersedes COMDTINST M5212.12, para 296a(3) and (4)).	
	a. Original log containing a daily record of the unit's activities and a daily record of local weather information.	Destroy when 3 years old. (NC1-26-84-1), item 296a(3)
	b. Master Flight Logs containing statistical entries of all flights regardless of purpose.	Destroy when 7 years old. (NC1-26-84-1), item 296a(4)

3	Small Shore Unit Logs. Units found in this section include: Electronic Repair Shops, Fog Signal Stations, Lifeboat Stations, Light Stations, Light Attendance Stations, Loran Transmitting Stations, Mooring, Organized Reserves Training Units (Port Security) (Vessel Augmentation), Radio Stations, Recruiting Stations, and others. (supersedes COMDTINST M5212.12, para. 296a(5)).	
	a. Original Logs (including Journal of Light Stations containing a daily record of the unit's activities and a daily record of local weather information. (a) Journal of Light Stations and Lifeboat Stations.	Permanent. Transfer to NARA immediately, no more records are being created under this description. (NC1-26-84-1), item 296a(5)(a)
	b. All other logs created by shore units.	Destroy when 3 years old. (NC1-26-84-1), item 296a(5)(b)
	c. Loran recording charts.	Destroy when 3 years old. (NC1-26-84-1), item 296a(6)
4	Coast Guard Vessels. Original Ship Logs containing a daily record of the ship's activities and a daily record of weather information. (supersedes COMDTINST M5212.12, para 296a(7)).	
	a. Logs for Group 1 type units described under COMDTINST 3123.12 series as follows: WHEC, WLI, WLM, WYTL, WTR, WMEC, WLR, WYTM, WAGO, WAGB, WLIC, WLB, WPB, WIX, WAGW. (supersedes COMDTINST M5212.12, para 296a(7)(a)).	Permanent. Transfer to NARA when 20 years old in 5 year blocks. Transfer to FRC when 1 cubic foot has accumulated. (NC1-26-84-1), item 296a(7)(a)
	b. Log for Group II type units described under COMDTINST 3123.12 series as follows: WLV. (supersedes COMDTINST M5212.12, para 296a(7)(b)).	Permanent. Transfer to NARA when 20 years old in 5 year blocks. Transfer to FRC when 1 cubic foot has accumulated. (NC1-26-84-1), item 296a(7)(b)
	c. Quarters Bridge books. (supersedes COMDTINST M5212.12, para 296a(8)).	Destroy when 3 years old. (NC1-26-84-1), item 296a(8)

5	Headquarters Units. Units found in this section include Academy, Aircraft Repair and Supply Center, Institute, Receiving Centers, Supply Centers, Training Station Yard. (supersedes COMDTINST M5212.12 para. 296a(9)). Original Log containing daily record of units' activities and a daily record of local weather information. (supersedes COMDTINST M5212.12 para 296a(9)).	Destroy when 3 years old. (NC1-26-84-1), item 296a(9)

ITEM NO.	SSIC 16110 SAR FACILITIES	AUTHORIZED DISPOSITION
1	SAR Cutter files consisting of action documents giving brief operational and biographical history of each ship with information on building, acquisition, commissioning, alterations, movements, and actions. (supersedes (HQINST M5212.6A, para. 484).	Permanent. Transfer to FRC when vessel leaves Coast Guard control. Transfer to NARA 5 years after vessel leaves Coast Guard control. (NC1-26-76-2), item 484
2	Shore SAR units, group offices and facilities files with copies of correspondence, pictures, and related materials on the operation of each SAR unit or group office from establishment to disestablishment. (supersedes HQINST M5212.6A, para. 485).	Permanent. Transfer to FRC when 2 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 485
3	Small boat case files containing construction and alteration records for small boats used by Coast Guard. (supersedes HQINST M5212.6A, para. 486).	Destroy 3 years after boat leaves Coast Guard Control. (NC1-26-76-2), item 486
4	Marine Science Cognizance Report. (supersedes HQINST M5212.6A, para. 489).	Destroy when 3 years old. (NC1-26-76-2), item 489
5	Reports of oceanographic operations and statutory patrol (includes International Ice Patrol and Bulletins and CG Oceanographic Reports). (supersedes HQINST M5212.6A, para. 488).	Permanent. Transfer to FRC 20 years after date of report. Transfer to NARA 20 years after date of report. (NC1-26-76-2), item 488
6	Ship files (oceanographic) documenting construction, acquisition, commissioning, alteration, movements, and other actions. (supersedes HQINST M5212.6A, para. 493).	Permanent. Transfer to FRC when ship is no longer a CG facility. Transfer to NARA 10 years after transfer to FRC. (NC1-26-76-2), item 493
7	Oceanographic data including hydrographic data-- original measurements of depth, temperature and salinity data collected, etc. (supersedes HQINST M5212.6A, para. 493a).	Destroy when 20 years old. Transfer to FRC when 5 years old. (NC1-26-80-6), item 493a

ITEM NO	SSIC 16112 AIRCRAFT (SAR)	AUTHORIZED DISPOSITION
1	Copies of aircraft accident and incident reports submitted in accordance with CG-405. (supersedes HQINST M5212.6A, para. 478).	Destroy when 3 years old. (NC1-26-76-2), item 478
2	Aircraft disposal documents and attached history card. (supersedes HQINST M5212.6A, para. 479 and COMDTINST M5212.12, para. 296c(1)).	Destroy when 7 years old. (NC1-26-76-2) and (NC-26-80-4), items 479 and 296c(1)
3	Aircraft Inventory Reports. (supersedes HQINST M5212.6A, para. 480).	Destroy when 20 years old. Transfer to FRC when 10 years old. (NC1-26-76-2), item 480
4	Executive Flight Schedules. Executive Flight Requests and Passenger Manifests. (supersedes HQINST M5212.6A, para. 482 and 483).	Destroy when 3 months old. (NC1-26-76-2) and (NC-26-80-4), items 482 and 483
5	Aircraft Flight Record (CG-4377, Part II). (supersedes COMDTINST M5212.12, para. 296c(2)).	Destroy when 7 years old. (NC-26-80-4), item 296c(2)
6	Aircraft records concerning status, assignments, overhauls, IRAN, and deployment. (supersedes HQINST M5212.6A, para. 477).	Destroy 3 years after aircraft leaves Coast Guard control. (NC1-26-76-2), item 477

ITEM NO.	SSIC 16130 SAR OPERATIONS	AUTHORIZED DISPOSITION
1	Distress Case Files. Area Commander's distress case files with indexes relating to distress cases where the Coast Guard renders assistance. (supersedes COMDTINST M5212.12, para. 299).	Destroy when 5 years old. (NC-26-80-4), item 299
2	SAR Assistance Reports CG Form 5151. (supersedes HQINST M5212.6A, para. 476 and COMDTINST M5212.12, para. 296h).	Destroy when 10 years old. Transfer to FRC 1 year after information is entered and validated on the ADP system. (NC1-26-76-2) and (NC-26-80-4), items 476 and 296h

3	Abstract and copies of computer print-out of operations for aircraft, boats, and cutters. Individual and summary reports of aircraft, boats and cutters. Includes operating hours by employment category, and scheduled and unscheduled maintenance hours. Also, includes records of worksheets submitted by field units to Headquarters to produce the abstract of operations. (supersedes COMDTINST M5212.12, para. 300).	Destroy when 3 years old. (NCI-26-82-14), item 300
4	Message Situation Report Files. (supersedes HQINST M5212.6A, para. 475).	Destroy when 2 years old. Remove those to be filed with SAR case files. (NC1-26-76-2), item 475
5	Operations Plans and Orders Issued by the Area or District Commander. Record Copies (Originator's case file) (supercedes COMDTINST M5212.12 para. 298a and b).	Destroy when 20 years old. Transfer to FRC when 5 years old. (NC-26-80-4), items 298a and b
	*All other copies.	*Destroy when superseded, or obsolete, or no longer needed for reference purposes.
6	Vehicle Records. (supersedes COMDTINST M5212.12, para. 296i (1) and (2)).	
	a. Vehicle case files containing records of assignment and disposition.	Destroy 1 year after transfer or disposal of vehicle. (NC-26-80-4), item 296i(1)
	b. Residual motor vehicle and boat operations and maintenance records containing schedules, reports, and routing repair data and related correspondence.	Destroy after transfer or disposal of boat or vehicle. (NC-26-80-4), item 296i(2)

ITEM NO.	SSIC 16150 ICE OPERATIONS RECORDS	AUTHORIZED DISPOSITION
1	Ships files (icebreakers) as in ELT section above. (supersedes HQINST M5212.6A, para. 502).	Permanent. Transfer to FRC when ship is no longer a Coast Guard facility. Transfer to NARA 10 years after transfer to FRC. (NC1-26-76-2), item 502
2	Icebreaker Cruise Reports. (supersedes HQINST M5212.6A, para. 503).	Permanent. Transfer to FRC when ship is no longer a Coast Guard facility. Transfer to NARA 10 years after transfer to FRC. (NC1-26-76-2), item 503

3	Icebreaking Report. (supersedes HQINST M5212.6A, para. 504).	Destroy when 5 years old. (NC1-26-76-2), item 504
4	International Ice Patrol (IIP). IIP Facsimile Charts. These charts are produced during the Ice Patrol Season and broadcasted daily at 1600z to the North Atlantic Mariner. The charts are used to predict iceberg locations on the Grand Banks and provide estimated limits of all known icebergs. (supersedes COMDTINST M5212.12, para. 301a).	Destroy when 10 years old. Transfer to FRC when 3 years old. (NCI-26-84-7), item 301a
5	IIP Reconnaissance Detachment (ICERECDET) Sightings Logs. These logs are prepared for each single flight flown on a deployed reconnaissance detachment and consist of flight tracks and visibility limits along a flight track. Included also are Side Looking Airborne Radar (SLAR) on/off points, position/size/time of sightings for all icebergs, and other methods of detection. (supersedes COMDTINST M5212.12, para. 301b).	Destroy when 25 years old. Transfer to FRC when 3 years old. (NCI-26-84-7), item 301b
6	SLAR Films. These films are produced during SLAR reconnaissance flights during the Ice Patrol Season and are utilized for post-flight analysis of the search area for iceberg detection. All radar contacts are evaluated and iceberg sightings are recorded in the Sightings Logs. (supersedes COMDTINST M5212.12, para. 301c).	Destroy when 3 years old. (NCI-26-84-7), item 301c

SSIC 16200-16299 ENFORCEMENT OF LAWS AND TREATIES

Records in this section relate to the legal determination of the Chief Counsel in support of Coast Guard programs and records relating to the Coast Guard legislative program, military justice, claims and litigation, enforcement of Federal maritime laws and other laws affecting the Coast Guard and its personnel.

ITEM NO.	SSIC 16200 GENERAL ENFORCEMENT OF LAWS AND TREATIES RECORDS	AUTHORIZED DISPOSITION
1	Records created by the Office of Chief Counsel documenting the organization of the Office of Chief Counsel consisting of the following: (supersedes HQINST M5212.6A, para. 371a, b(1)(a)(2)):	
	a. Official record copy each directive/publication issued by the office with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-84-1), item 371a
	b. Studies/surveys conducted by the Office of Chief Counsel which resulted in Coast Guard-wide adoption of policy or management program, are forwarded to higher authority and included in formal publication by the higher authority. Also, studies/surveys which did not result in CG wide adoption of policy or management programs.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-84-1), item 371b(1)(a) and (NC1-26-84-1), item 371b(2)
	c. Studies/surveys which are not forwarded to or published by a higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-84-1), item 371b(b)
2	Law and regulation violation cases (Forms CG-2636, Report of Violation, CG 3629, Water Pollution; CG 1408, Loadline Inspection Report) and associated documents. (supersedes COMDTINST M5212.12, para 230).	Destroy 3 years after report is forwarded to district (m). (NC-26-80-4) item 230
3	Law enforcement case files, including cases referred to other agencies or departments for action consisting of investigation reports, violation reports, correspondence, and related documents. (supersedes COMDTINST M5212.12, para. 233).	Destroy 1 year after final disposition of the case. (NC1-26-84-1), item 233

4	Navigable waters determinations and research materials provided by District staffs. (supersedes HQINST M5212 6.A, para. 383 and COMDTINST M5212.12, para. 170).	Maintain at agency (G-LMI) as an active working file and as documentation of further jurisdictional determination. Destroy when 3 years old or when no longer needed for reference purposes, whichever is later. (NC1-26-76-2 and NC-26-80-4), items 170 and 383
5	Merchant Seaman Appeals. Original of final agency actions consisting of Commandant's appeal decisions in suspension and revocation proceedings against merchant seaman's documents. (supersedes HQINST M5212.6A, para. 381**).** (See also SSIC 16721.)	Maintain at agency (G-LMI) as an active working file. Destroy when inactive. (NC1-26-76-2), item 381
6	Law Bulletins. (supersedes COMDTINST M5212.12, para. 192).	Destroy after opinions and decisions no longer constitute binding authority. (NC-26-80-4), item 192
7	Federal -State Relations. (supersedes HQINST M5212.6A, para. 76).	
	a. Cooperative Agreement amendments and Memorandum of Understanding relating to the coordination of law enforcement agreements.	Destroy 3 years after agreements are superseded or terminated. (NC1-26-82-8), item 76a
	b. Federal grants to states relating to boating safety requirements for the Federal Boat Safety Act. Records include correspondence, financial reports, statistical reports, and, other supporting documents.	Destroy 6 years, 3 months after grant is closed. Transfer to FRC 2 years after grant is closed. (NC1-26-82-8), item 76b
8	Enforcement of Laws and Treaties Incident Report and Data Report. (supersedes HQINST M5212.6A, para. 497).	Permanent. Transfer to FRC 5 years after date of report. Transfer to NARA 30 years after date of report. (NC1-26-76-2), item 497
9	High/Medium Endurance Cutter Ship records and characteristics cards documenting status movement. (supersedes (HQINST M5212.6A, para. 496).	Permanent. Transfer to FRC upon decommission of the cutter(s). Transfer to NARA 30 years after date of decommissioning in 5 year blocks. (NC1-26-76-2), item 496

10	High/Medium Endurance Cutter Ship allowance files containing requests, authorization and related papers on equipment allowances for housekeeping and operational needs. (supersedes HQINST M5212.6A, para. 494).	Destroy when 10 years old. (NC1-26-76-2), item 494
11	Correspondence and reports from Districts on routine law enforcement activities. (supersedes HQINST M5212.6A, para. 67).	Destroy when 3 years old. (NC1-26-76-2), item 67

SSIC 16450-16499 MARINE ENVIRONMENTAL PROTECTION

ITEM NO.	SSIC 16450 GENERAL MARINE ENVIRONMENTAL PROTECTION RECORDS. (also see SSIC 5090)	AUTHORIZED DISPOSITION
1	Records created by the Office of Marine Safety and Environmental Protection documenting organizational development and administration consisting of the following (supersedes HQINST M5212.6A, para. 511).	
	a. Official record copy each directive/publication issued with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2 and NC-26-80-4), item 511a
	b. Studies/Surveys conducted by the Office of Marine Safety and Environmental Protection which resulted in Coast Guard-wide adoption of policy or management programs, are forwarded to higher authority and included in formal publication by the higher authority. Also, studies/surveys which did not result in CG wide adoption of policy or management programs.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2 and NC-26-80-4), item 511b(1)(a) and 511b(2)
	c. Studies/Surveys conducted by the Office of Marine Safety and Environmental Protection which are not forwarded to or published by a higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2 and NC-26-80-4), item 511b(b)
2	General administrative correspondence files (excluding primary records above) from various activities of marine environmental protection and ports and waterways activities. (supersedes HQINST M5212.6A, para. 512 and COMDTINST M5212.12 para. 221).	Destroy when 3 years old. (NC1-26-76-2), items 512 and 221
3	Correspondence files of a routine administrative or housekeeping nature. (supersedes HQINST M5212.6A, para. 513 and COMDTINST M5212.12, para. 222).	Destroy when 3 years old. (NC1-26-76-2 and NC-26-80-4), items 513 and 222

4	Annual report to Congress on Deepwater Port Act. (supersedes HQINST.6A, para. 532).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 532
5	Copies of reports of International Marine Pollution Prevention Violations. (supersedes HQINST M5212.6A, para. 50).	Destroy when 3 years old. (NC1-26-76-2), item 50
6	Port Safety and Security/Marine Environmental Protection Activities Report. (supersedes COMDTINST M5212.12, para. 219)	Destroy when 2 years old. (NC-76-80-4), item 219
7	a. <u>MARINE POLLUTION RETRIEVAL SYSTEM</u>. (MPRS) These electronic records consist of information relating to a marine pollution incident. The data are captured any time a spill occurs within the U.S. Coast Guard's area of jurisdiction or a U.S. Coast Guard Marine Safety Office responds in aid of another on-scene coordinator, according to the National Contingency Plan. Some of the information covered in the records are: date of the incident, port's district code, waterbody code, state code, federally funded project number, responding unit's district, investigation work hours, operation in progress at the time of spill, primary cause of spill code, vessel name, vessel type code, Chris group code (Chemical, Petroleum or other Oils), total potential amount of spill, number of violations, violation case number, statutory penalty, penalty paid, and violation closure date. MPRS is a merged database of the Pollution Incident Reporting System (January 1973 through September 1985 (NC1-26-76-2)) and Marine Safety Information System (MSIS) data (October 1985 through June 1991.) PERIOD COVERED; January 1973 through June 1991. ARRANGEMENT STATEMENT: The files are arranged by case number. STATEMENT OF RESTRICTIONS: There are no restrictions. CURRENT VOLUME; 2 reels. ESTIMATE OF ANNUAL ACCUMULATION: 0 reels.	Permanent. Transfer copy of January 1973 through June 1991 data to the National Archives in April 1993. (N1-26-93-3)

	b. MARINE POLLUTION RETRIEVAL SYSTEM DOCUMENTATION. File specifications, codebooks, record layouts, and final reports (regardless of medium) relating to the files. PERIOD COVERED: January 1973 through June 1991. ARRANGEMENT STATEMENT. No special arrangement. STATEMENT OF RESTRICTIONS. There are no restrictions. CURRENT VOLUME: less than 1 cu. ft. ESTIMATE OF ANNUAL ACCUMULATION: 0 cu. ft.	Permanent. Transfer copy of documentation with file. (N1-26-93-3)
8	Records created by the Marine Safety Council documenting the organizational development and administration of the Marine Safety Council consisting of the following: Official record copy of each directive/publication issued by the office with significant background material. Documents which have been microfilmed in accordance with GSA regulation concerning microfilming of permanent records. (supersedes HQINST M5212.6A, para. 591).	
	a. Paper documents. (supersedes HQINST M5212.6A, para. 591a).	Destroy after microfilming and completion of quality control edit as outlined in FPMR 101-11.5 pertaining to permanent records. (NC1-26-78-3), item 591a
	b. Silver original copy plus one positive copy of each microfilm which is a silver negative. (supersedes HQINST M5212.6A, para. 591b).	Permanent. Transfer to NARA annually. (NC1-26-78-3), item 591b
	c. Additional microfilm copies. (supersedes HQINST M5212.6A, para. 591c).	Maintain at Coast Guard Headquarters as an active working file. Destroy when no longer useful. (NC1-26-78-3), item 591c
	d. Documents which have not been microfilmed. (supersedes HQINST M5212.6A, para 591d).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 591d
	e. Studies/Surveys conducted by the Marine Safety Council. (supersedes HQINST M5212.6A, para 591e).	

	(1) Studies/Surveys which resulted in Coast Guard wide adoption of policy or management program.	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 591e(1)(a)
	(b) Which are not forwarded or to published by a higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 591e(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served whichever is later. (NC1-26-76-2), item 591e(2)
9	Rules, regulations and directives files with background material used in preparation of rules and regulations published in the Federal Register and/or CG issuances. (supersedes HQINST M5212.6A, para. 594).	Destroy when 20 years old. Transfer to FRC when 5 years old. (NC1-26-76-2), item 594
10	U.S. Coast Guard Public Rulemaking Dockets. Rulemaking regulations (dockets) used in the development, review and passage of Coast Guard rules and regulations as incorporated in 33 or 46 CFR. Included are Federal Register notices, public comments, public hearings documents, including verbatim transcripts or recordings. Coast Guard's internal analysis, studies and reports and petitions for consideration. (supersedes HQINST M5212.6A, para. 16, which previously read: "Files, correspondence and research papers relating to formulation/promulgation of "USCG Regulations").	Permanent. Cutoff closed paper files annually. Transfer to the FRC when 2 years old. Transfer to NARA when 10 years old. Scan Dockets into the Docket Management System (DMS) (N1-26-97-2) (see item 12 below)
11	Background Working Papers. This series includes staff briefing papers of Coast Guard and DHS officials, memoranda or records that document agency contact with industry interests and Congress intra-agency contact and comments; professional and international committees' interaction and participation; internal concurrence; supporting documentation; related reports, exhibits and analysis of comments received.	Permanent. Cutoff closed files annually. Transfer to the FRC when 2 years old. Transfer to NARA when 10 years old. (N1-26-97-2)

12	DOT OPTICAL DISK SCANNING PROJECT. (Docket Management System, DMS). Selected dockets scanned into the DOT's optical disk system. Coast Guard will follow disposition instructions approved for the system as cited in (N1-398-95-3).	Destroy paper files upon verification that the record copy information has been fully and 100% accurately converted to optical disks. Transfer record copy of files and related finding aids to NARA in acceptable format when files are ten years old. Acceptable format may be optical images converted to paper, microform, magnetic tape, 3480 class tape cartridge or any other medium that meets the standards specified in Subchapter B or 36 CFR, Chapter B of 36 CFR XII before transfer to NARA's legal custody with related finding aids. Prior to transfer, NARA and DOT will determine the medium in which records will be transferred. (N1-26-97-2)
13	Records of meetings of Marine Safety Council. Documents which have been microfilmed in accordance with GSA regulations concerning microfilming permanent records. (supersedes HQINST M5212.6A, para. 596).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC-26-78-3), item 596
	a. Paper documents.	Destroy after microfilming and completion of quality control edit as outlined in FRMR 101-11.5 pertaining to permanent records. (NC1-26-78-3), item 596a
	b. Silver original copy plus one positive copy of each microfilm that is a silver negative.	Permanent. Transfer to NARA annually. (NC1-26-78-3), item 596b
	c. Additional microfilm copies.	Maintain at Coast Guard Headquarters as an active working file. Destroy when no longer useful. (NC1-26-78-3), item 596c
	d. Documents which have not been microfilmed.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-78-3), item 596d

14	Records of Marine Safety Council Advisory Committee consisting of decision making correspondence, Committee Agenda and Minutes of meetings. Documents which have been microfilmed in accordance with GSA regulations concerning microfilming of permanent records. (supersedes HQINST M5212.6A, para. 597).	
	a. Paper documents. (supersedes HQINST M5212.6A, para. 597a).	Destroy after microfilming and completion of quality control edit as outlined in FPMR 101-11.5 pertaining to permanent records. (NC1-26-78-3), item 597a
	b. Silver original copy plus one positive copy of each microfilm which is a silver negative. (supersedes HQINST M5212.6A, para. 597b).	Permanent. Transfer to NARA annually. (NC1-26-78-3), item 597b
	. c. Additional microfilm copies. (supersedes HQINST M5212.6A, para. 597c).	Maintain at Coast Guard Headquarters as an active working file. Destroy when no longer useful. (NC1-26-78-3), item 597c
	d. Documents which have not been microfilmed. (supercedes HQINST M5212.6A, para. 597d)	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-78-3), item 597d
15	Printers' copy, galley and page proofs of CG Marine Safety Publications. (supersedes HQINST M5212.6A, para. 598).	Destroy at time of publication or when declared obsolete. (NC1-26-76-2), item 598
16	Reports of pollution and action taken. (Case file). (supersedes COMDTINST M5212.12, para. 225).	Destroy 10 years after case is closed. Transfer to FRC 3 years after case is closed. (NC-26-80-4), item 225
17	Financial Responsibility of Vessels for Pollution Liability.	
	a. Water Pollution Certificate Files, consisting of receipt of insurance and application forms for vessel owner or operator. Included also are correspondence and other related documents required to issue a Coast Guard Certificate. (supersedes HQINST M5212.6A, para. 538a).	Transfer to FRC 5 years after return of certificate. Destroy when 10 years old. (NC1-26-84-8), item 538a

18	Enforcement Agency files, consisting of correspondence and reports between U.S. Coast Guard, U.S. Customs Service, Panama Canal, and other enforcement agencies regarding the Water Pollution Program. (HQINST M5212.6A, para. 538f).	Transfer to FRC 5 years after return of certificate. Destroy when 10 years old. (NC1-26-84-8), item 538f
19	Underwriter Files consisting of insurance or surety company forms with approval memorandum, financial data and other related information for which approval or disapproval is based. (supersedes HQINST M5212.6A, para. 538b).	Transfer to FRC 5 years after applicant has been withdrawn from active file. Destroy when 10 years old. (NC1-26-84-8), item 538b
20	Master Insurance File consisting of blanket insurance forms covering all vessels under repair or construction, etc. under the care of a ship builder. (supersedes HQINST M5212.6A, para. 538c).	Transfer to FRC 5 years after applicant has been withdrawn from active file. Destroy when 10 years old. (NC1-26-84-8), item 538c
21	Self Insurers Files, consisting of data pertaining to the financial status, solvency and financial responsibility of applicants. (supersedes HQINST M5212.6A, para. 538d).	Transfer to FRC 5 years after applicant has been withdrawn from active file. Destroy when 10 years old. (NC1-26-84-8), item 538d
22	Concurrence of Agent For Service of Applicants File, consisting of written agreements of United States firms to act as U. S. Agent for service of process for certain vessel owners, vessel operators, or underwriters. (supersedes HQINST M5212.6A, para. 538e).	Transfer to FRC 5 years after applicant has been withdrawn from active file. Destroy when 10 years old. (NC1-26-84-8), item 538e
23	Application Log Books. This log contains the date of applicant's request for certificate, applicant's name, control number, and approval or disapproval of request. (supersedes HQINST M5212.6A, para. 538g).	Destroy when no longer needed for reference or when 5 years old, whichever is sooner. (NC1-26-84-8), item 538g
24	Deepwater Port Environmental Impact Statements. (supersedes HQINST M5212.6A, para. 531).	Destroy 3 years after termination of license. (NC1-26-76-2), item 531

ITEM NO.	SSIC 16480 HAZARDOUS CHEMICAL AND OIL RESPONSE	AUTHORIZED DISPOSITION
1	Rules, regulations and directives case files containing material used in preparation of rules and regulations published in the Federal Register pertaining to Hazardous Materials. (supersedes HQINST M5212.6A, para. 444).	Destroy 30 years after publication. Transfer to FRC 10 years after publication. (NC1-26-76-2), item 444
2	Chemical Engineering files containing correspondence, reports and related materials on general policies for transporting chemicals and other hazardous materials. (supersedes HQINST M5212.6A, para. 445).	Destroy when administrative needs have been met. (NC1-26-76-2), item 445
3	Special exemptions (letter of exception) for explosives and other dangerous articles, including correspondence. (supersedes HQINST M5212.6A, para. 447).	Destroy 10 years after permit is expired or revoked. Transfer to FRC when permits expire or are revoked. (NC1-26-76-2), item 447
4	Copy Department of Homeland Security Exemption with concurrence by Coast Guard and related correspondence. (supersedes HQINST M5212.6A, para. 448).	Destroy when expired or revoked. (NC1-26-76-2), item 448
5	Certificates for dangerous articles such as ships stores and supplies, including pertinent correspondence "type" approval case files (CG-190). (supersedes HQINST M5212.6A, para. 446).	Destroy 10 years after expiration of approval. (NC1-26-76-2), item 446
6	Copies of permits issued to barges and ships for loading of explosives and related papers. (supersedes COMDTINST M5212.12, para. 235).	Destroy when 1 year old. (NC-26-80-4), item 235
7	Oil Record Book (G-4601). (supersedes COMDTINST M5212.12, para. 236).	Destroy after edit. (NC-80-4), item 236
8	Oil and Hazardous Substance Discharge Records. (Records generated in response to an oil and hazardous substance pollution incident as defined by the National Oil and Hazardous Substance Pollution Contingency Plan (NCP) as cited in 40 CFR Part 300.	

Major and Medium Discharges and Releases. A **major** discharge is defined as a discharge of more than 10,000 gallons of oil to the inland waters or more than 100,000 gallons of oil to the coastal waters. Major release means a release of any quantity of hazardous substance(s), pollutant(s), or contaminant(s) that pose a substantial threat to public health or welfare of the environment, or results in significant public concern. (40 CFR, Part 300.6) A **medium** discharge means a discharge of 1,000 to 10,000 gallons of oil to the inland waters or a discharge of 10,000 to 100,000 gallons of oil to the coastal waters.

a. Correspondence files. Discharge correspondence of the Federal On-Scene Coordinator (FOSC), which consists of communications between members of the National Response Team (NRT), other Federal participants, media, and vested parties including the party responsible for the discharge. This item includes all subject correspondence files, including FAX files. FAX files must be copied on acceptable paper as cited in NARA Bulletin 91-6.	Permanent. Transfer to FRC at completion of clean-up. Transfer to NARA 10 years after case is closed. (N1-26-92-1)
b. Correspondence Database. Database which tracks and identifies by subject all correspondence received and generated from the Office of the FOSC.	Permanent. Transfer to NARA along with technical documentation that provides a comprehensive definition of the format and content of the records in the database when related correspondence is transferred to FRC. (N1-26-92-1)
c. Any required reports requested or submitted by the NCP, NRT, or FOSC, or U.S. Coast Guard.	Permanent. Transfer 2 copies of each report to FRC when case is closed. Transfer to NARA 10 years after case is closed. (N1-26-92-1)
d. Daily files. These files are the principal source of material for the weekly chronology files. The files include: pollution reports files (PolReps); plan of the day; Incident Command Post (ICP) daily reports, State information; principle party work plans and daily reports; the Admiral's itinerary; and the U.S. Coast Guard's press information.	Permanent. Transfer to FRC upon completion of clean-up. Transfer to NARA 10 years after case is closed. (N1-26-92-1)

	e. Segment files. These files document the clean-up effort of each segment of area (shoreline/beach) affected by the discharge. The files contain shoreline evaluation and the principle party's recommendations for action, documentation relating to internal U.S. Coast Guard review and comments from other interested Federal and State agencies; photographs of the segment; daily reports on the clean-up effort; and final assessment which is signed off by the U.S. Coast Guard.	Permanent. Transfer to FRC upon completion of clean-up. Transfer to NARA 10 years after case closed. (N1-26-92-1)
	f. Financial Records. Financial records maintained by the FOSC used in the clean-up and recovery efforts to carry out functions under the Oil Pollution Act of 1990. These files include copies of certification, letters authorizing payment, copies of other Federal agencies proposals, acknowledgment of receipts, bills/invoices, time sheets of U.S. Coast Guard man-hours expended, contract information and U.S. Coast Guard operation reports.	Permanent. Transfer to FRC when case is closed. Transfer to NARA 10 years after case is closed. (N1-26-92-1)
9	On-Scene Coordinator's Public Affairs Office	
	a. Public Affairs Office maintains case file of original documents including newspaper clippings, news and press releases and correspondence relating to media inquiries.	Permanent. Transfer to FRC upon completion of clean-up. Transfer to NARA 10 years after case is closed. (N1-26-92-1)
	b. Slides, still photographic prints and related video tapes of the discharge and related activities	Destroy 10 years after case is closed. Transfer to FRC at completion. (N1-26-92-1)
	c. Protocol records consisting of visiting VIP schedules, agenda and meeting arrangements.	Destroy 10 years after case is closed. Transfer to FRC at completion. (N1-26-92-1)
10	Minor and Medium Discharges and Reseases	

A minor discharge means a discharge to the inland waters of less than 1,000 gallons of oil or a discharge to the coastal waters of less than 10,000 gallons of oil. A minor release means a release of a quantity of hazardous substance(s), pollutant(s), or contaminant(s) that poses minimal threat to public health or welfare to the environment.

	a. Case files containing documentation as required by the NCP and U.S. Coast Guard mandates. Files include correspondence, FOSC reports and activities, plans of clean-up activities, and documentation supporting the cost of the clean-up activities.	Transfer to FRC upon clean-up. Destroy files 20 years after clean-up. (N1-26-92-1)
	b. Disposal Records. Documents related to the disposal of all oil and hazardous wastes generated in the course of clean-up activities, including manifests, receipts, invoices and copies of contract documents relating to disposal. Medium discharge and release files, exclusive of documents discussed in paragraph c. below.	Permanent. Transfer to FRC when case is closed. Transfer to NARA 10 years after case is closed. (N1-26-92-1)
	c. Disposal Records. Documents related to the disposal of all wastes generated in the course of clean-up activities, including manifests, receipts, invoices and copies of contract documents relating to disposal.	Permanent. Transfer to FRC when case is closed. Transfer to NARA 10 years after case is closed. (N1-26-92-1)

*****Any press releases and audio visual records and other routine permanent records above (slides, still prints, videos) should be transferred to the Public Affairs Office and treated as permanently valuable files as authorized by COMDTINST M5212.12, items 49, 51a and b, and 52. Also HQINST M5212.6A items 84 through 88.

Note: Some Minor and Medium Discharge case files may be worthy of permanent retention if they significantly document NRT or U.S. Coast Guard policy in discharge recovery or document spills in ecologically sensitive areas, such as fishing or animal nesting areas. These should be brought to the attention of NARA so they can be appraised and appropriate disposition authorized.

11	Report of deepwater port oil throughput. (supersedes HQINST M5212.6A, para. 533 and COMDTINST M5212.12, para. 265).	Destroy when 3 years old. (NC1-26-76-2 and NC-26-80-4), items 533 and 265
12	**All other** CG Environmental Records. All records construed to be "environmental." Includes, but are not limited to: hazardous waste management; pollution incidents/clean-up; environmental planning; spill response; and asbestos and/or any other chemicals/materials. (supersedes COMDTINST M5212.12, CH-5 para. 442).	Retain indefinitely. Item 442

SSIC 16500-16549 SHORT RANGE AIDS TO NAVIGATION

ITEM NO.	SSIC 16500 SHORT RANGE AIDS TO NAVIGATION	AUTHORIZED DISPOSITION
1	Records created by the Office of Navigation documenting the organizational development and administration consisting of the following: (supersedes HQINST M5212.6A, para. 40).	
	a. Official record copy of each directive/publication issued with significant background material. (supersedes HQINST M5212.6A, para. 40a).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-83-3), item 40a
	b. Studies/Surveys conducted by the Office of Navigation.	
	(1) Studies/Surveys which resulted in Coast Guard-wide adoption of policy or management programs:	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-83-3), item 40b(1)(a)
	(b) Which are not forwarded to or published by a higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-83-3), item 40b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard-wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-83-3), item 40b(2)
2	General administrative correspondence files (excluding primary records above) from various activities for administration and general management of CG affairs. (supersedes HQINST M5212.6A, para. 41).	Destroy when 5 years old. (NC1-26-83-3), item 41
3	Record material of a routine or housekeeping nature. (supersedes HQINST M5212.6A, para. 42).	Destroy when 3 years old. (NC1-26-83-3), item 42

4	Aids to Navigation. Aids to Navigation case files pertaining to the development of, and case files pertaining to the operation, damage and repair of light vessels, light stations and buoys. Contains copies of authorizations to establish aids, charts indicating locations of aids, records relating to discontinuance of aids, message traffic, and Standardized Aids to Navigation (SANDS) reports and letters pertaining to the aid. (supersedes COMDTINST M5212.12, para. 311 and HQINST M5212.6A, para. 43).	
	a. Minor Aids	
	(1) Case files which have been microfilmed in accordance with procedures contained in the Federal Property Management Regulations, Subchapter B, applying quality control and storage standards for nonpermanent records to be held for 10 years or more. (FPMR 101-11.507 (c)(1)).	Destroy paper document after case file is microfilmed and quality content edit of microfilm is completed. (NC1-26-76-2 and NC-26-80-4), item 311a(1)
	(2) Case files which have not been microfilmed.	Destroy 3 years after aid is disestablished. (NC1-26-76-2 and NC-26-80-4), item 311a(2)
	b. Major Aids	
	(1) Case files which have been microfilmed in accordance with procedures contained in the Federal Property Management Regulations Sub-Chapter B applying quality control and storage standards for non-permanent records to be held for 10 years or more (FPMR 101.11.507 c(1)).	Permanent. Destroy paper copy after microfilm quality control edit is completed. Offer silver and diazo copy to NARA 3 years after aid is disestablished. (NC1-26-76-2 and NC-26-80-4), item 311b(1)
	(2) Case files which have not been microfilmed.	Permanent. Transfer to FRC 3 years after aid is disestablished. (NC1-26-76-2 and NC-26-80-4), item 311b(2)
	c. Major aids to navigation master files consisting of applications and authorities granted to them by the Commandant with supporting papers, charts and graphs for establishment, change or discontinuance of aids to navigation.	Permanent. Transfer to FRC when 3 years old. Transfer to NARA when 20 years old. (NC1-26-76-2 and NC-26-80-4), item 43

5	Photographs of minor aid structures, equipment and systems. (supersedes HQINST M5212.6A, para. 153).	Destroy after completion of project and disposition of the equipment or system. (NC1-26-76-2), item 153
6	Aids to navigation photographs. Copies of photographs of aids to navigation within the district. (supersedes COMDTINST M5212.12, para. 321).	Destroy 3 years after disestablishment of aid. (NC-76-80-4), item 321
7	Light lists of aids to navigation, loose-leaf master light lists with sources of information for correction. (supersedes COMDTINST M5212.12, para. 320 and. HQINST M5212.6A, para. 49).	Permanent. Transfer to FRC when 15 years old. (NC-76-80-4), items 320 and 49
8	Light lists of aids to navigation; bound copy. (supersedes HQINST M5212.6A, para. 48).	Destroy when 25 years old. (NC1-26-76-2), item 48
9	Standardized Aids to Navigation Data System (SANDS) Assignment List. (supersedes COMDTINST M5212.12, para. 315).	Destroy when superseded or obsolete. (NC-26-80-4), item 315
10	SANDS Aids to Navigation Quarterly Work Schedule. (supersedes COMDTINST M5212.12, para. 316).	Destroy 1 year from date of issue. (NC-26-80-4), item 316
11	Logs. Transcripts of logs of lightships, light stations and cutters. Loran Transmitting Station and/or Monitor Log, Form CG-3912 (supersedes COMDTINST M5212.12, para. 317a and b).	Destroy when 1 year old. (NC-26-80-4), items 317a and b
12	Case files pertaining to the establishment of aids to navigation marking wrecks containing copies of authorizations to establish aids, charts indicating positions of aids and wrecks, and records of authority for discontinuing the aids. (supersedes COMDTINST M5212.12, para. 313).	Destroy 3 years after discontinuing aid or removal of the wreck. (NC-26-80-4), item 313
13	Short range aids to navigation, MEP and marine science equipment investigations and evaluation case files. (supersedes HQINST M5212.6A, para. 151).	Permanent. Transfer to NARA when 20 years old. (NC1-26-76-2), item 151
14	Instruction books for marine science and short range aids to navigation equipment. (supersedes HQINST M5212.6A, para. 159).	Destroy at Headquarters after disposition of equipment. (NC1-26-76-2), item 159

15	Structural, electronic, large navigational buoys and marine environmental protection equipment alterations and cover sheets to forms (CG-3213). (supersedes HQINST M5212.6A, para. 157).	Destroy at Headquarters 5 years after completion. (NC1-26-76-2), item 157
16	Copies of plans and marine science, MEP and short range aids to navigation equipment and structures (supersedes HQINST M5212.6A, para. 150).	Permanent. Transfer to NARA when superseded or canceled. (NC1-26-76-2), item 150
17	Major aids to navigation master files consisting of applications and authorities granted to them by the Commandant with supporting papers, charts and graphs for establishment, change or discontinuance of aids to navigation. (supersedes HQINST M5212.6A, para. 43 and 43a).	Permanent. Transfer to NARA when 3 years old. Transfer to FRC when 20 years old. (NC1-26-82-11), items 43 and 43a
18	Strip charts of original OMEGA transmitter station phase difference data of various monitoring sites for frequencies 10.2, 11.3 and 13.6 Khz.	Permanent. Transfer to NARA in 5-year blocks. Transfer to FRC when 2 years old. (NC1-26-82-11), item 43a

ITEM NO.	SSIC 16502 MARINE INFORMATION	AUTHORIZED DISPOSITION
1	Notices to Mariners, weekly. (supersedes COMDTINST M5212.12, para. 319a).	Destroy when 2 years old. (NC-26-80-4), item 319a
2	Notices to Mariners, local. (supersedes COMDTINST M5212.12, para. 319b).	Destroy when 20 years old. Transfer to FRC when 3 years old. (NC-26-80-4), item 319b
3	Local Notices to Mariners. Records of changes in aids to navigation forwarded from Coast Guard Districts. (supersedes HQINST M5212.6A, para. 45 and 518).	Destroy when 5 years old. Transfer to FRC when 2 years old. (NC1-26-82-1), items 45 and 518
4	Notices to Mariners concerning changes to aids to navigation. (supersedes HQINST M5212.6A, para. 44 and 517).	Destroy when 10 years old. Transfer to FRC when 5 years old. (NC1-26-82-1), items 44 and 517

ITEM NO.	SSIC 16518 PRIVATE AIDS TO NAVIGATION	AUTHORIZED DISPOSITION
1	Private aids to navigation case files containing applications for proposed establishment of private aids, which include navigation lights and fog sounding devices on bridges, rigs or other stationary objects; also periodic inspection reports, correspondence, plans, specifications and pending proposals, operative and discontinued. (supersedes COMDTINST M5212.12, para. 312).	Destroy 3 years after discontinuance of aid or rejection of application for aid. (NC-26-80-4), item 312

ITEM NO.	SSIC 16560 LORAN/OMEGA RECORDS.	AUTHORIZED DISPOSITION
1	Loran recording charts. (supersedes COMDTINST M5212.12, para. 296a(6) and 322).	Destroy when 3 years old. (NC-26-80-4), items 296a6) and 322
2	Loran transmitting station and/or monitor log, form CG-3912. (supersedes COMDTINST M5212.12, para. 317b).	Destroy when 1 year old. (NC1-26-84-1), item 317b
3	Reports of aids to navigation. Report of Loran Station Operation and Electronics Engineering (CG-2899). (supersedes COMDTINST M5212.12, para. 318a).	Destroy when 3 years old. (NC-26-80-4), item 318a
4	Monthly reports furnishing technical data, etc. on Loran stations and compilations. (supersedes HQINST M5212.6A, para. 46).	Destroy when 1 year old. (NC1-26-76-2), item 46
5	Monthly compilations of reports on Loran stations. Including phase out reports. (supersedes HQINST M5212.6A, para. 47).	Destroy when 10 years old. Transfer to FRC when 3 years old. (NC1-26-76-2), item 47
6	Strip charts of original OMEGA transmitter station phase difference data of various monitoring sites for frequencies 10.2, 11.3 and 13.6Khz (supersedes HQINST M5212.6A, para. 43a).	Permanent. Transfer to NARA in 5 year blocks. Transfer to FRC when 2 years old. (NC1-26-76-2), item 43a

SSIC 16590-16599 BRIDGE ADMINISTRATION

ITEM NO	SSIC 16590 GENERAL BRIDGE OPERATIONS RECORDS	AUTHORIZED DISPOSITION
1	Permits for bridges across navigable waters. (supersedes HQINST M5212.6A, para. 51 and COMDTINST M5212.12, para.310a).	Permanent. Transfer to FRC 1 year after completion of the project. Transfer to NARA 10 years after completion of project. (NC1-26-82-11), items 51 and 310a
2	Drawbridge operation regulations (case files). (supersedes HQINST M5212.6A, para. 52 and COMDTINST M5212.12, para 310b).	Destroy 2 years after bridge is made a "fixed bridge" or bridge is removed from the waterway. Transfer to FRC when 5 years old. (NC1-26-76-2 and NC-26-80-4), items 52 and 310b
3	Obstructive bridge (case files) (supersedes HQINST M5212.6A, para 53).	Destroy 2 years after bridge is removed from the waterway. Transfer to FRC 10 years after alteration. (NC1-26-76-2), item 53
4	Files on obstructive bridge projects, including reports of public hearings, orders to alter, orders of apportionment of costs, contracts and plans showing clearance and design criteria. (supersedes HQINST M5212.6A, para. 114).	Destroy 20 years after completion of the project. Transfer to FRC 3 years after completion of project. (NC1-26-76-2), item 114

SSIC 16600-16699 PORT SAFETY AND SECURITY

ITEM NO.	SSIC 16600 PORT SAFETY AND SECURITY	AUTHORIZED DISPOSITION
1	Records created by the Office of Operations documenting the organizational development and administration of the Office of Operations consisting of the following: (supersedes HQINST M5212.6A, para. 451).	
	a. Official record copy of each directive/publication issued with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 451
	b. Studies/surveys conducted by the Office of Operations	
	(1) Studies/surveys which resulted in Coast Guard-wide adoption of policy or management programs	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 451b(1)a
	(b) Which are not forwarded to or published by a higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2), item 451b(1)(b)
	(2) Studies/surveys which did not result in Coast Guard wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 451(2)
2	General administrative correspondence (excluding primary records above) from various activities of marine environmental protection and ports and waterways activities. (supersedes HQINST M5212.6A, para. 452 and COMDTINST M5212.12, para. 221).	Destroy when 10 years old. (NC1-26-76-2 and NC-26-80-4), items 452 and 221

3	Correspondence files of a routine administrative or housekeeping nature. (supercedes HQINST M5212.6A, para. 453 and COMDTINST M5212.12, para. 221).	Destroy when 3 years old. (NC1-26-76-2 and NC-26-80-4), items 453 and 221
4	Reports, summaries and routine correspondence from other agencies (supersedes COMDTINST M5212.12, para. 223).	Destroy when 2 years old. (NC1-26-76-2 and NC-26-80-4), item 223
5	Special program project files consisting of correspondence, reports, etc. on administrative matters such as budget, coordinating operation/ activities. (supersedes HQINST M5212.6A, para. 454).	Destroy record material from case files when 3 years old. (NC1-26-76-2), item 454
6	Abstracts of service-wide operations (supersedes HQINST M5212.6A, para. 455).	Destroy when 4 years old. (NC1-26-76-2), item 455
7	Ships' files containing requests to load explosives, copies of permits, stowage plans, lighter permits, and related documents pertaining to particular vessels. (COMDTINST M5212.12, para. 215).	Destroy when 1 year old. (NC-26-80-4), item 215
8	Annual applications for mooring permits in Federal anchorage. (supersedes COMDTINST M5212.12, para. 216).	Destroy after issuance of new permit. (NC-26-80-4), item 216
9	Anchorage check list of vessels in Federal anchorage (supersedes COMDTINST M5212.12, para. 217).	Destroy when 1 year old. (NC-26-80-4), item 217
10	Incoming ships' lists received from Collector of Customs giving names of vessels entering port. (supersedes COMDTINST M5212.12, para. 218).	Destroy when 1 year old. (NC-26-80-4), item 218
11	Operational intelligence case files containing correspondence, reports and collected intelligence information pertaining to law enforcement, foreign fishing vessels, merchant marine vessels, Coast Guard sea patrols and general intelligence activities. (supersedes HQINST M5212.6A, para. 462).	Permanent. Transfer to FRC when 3 years old. Transfer to NARA when 15 years old. (NC1-26-76-2), item 462

12	Records of Port Security Cards issued (CG-3177). Index cards showing approval and/or disapproval of application for Port Security Cards maintained at central control. (supersedes HQINST M5212.6A, para. 463 and 464 and COMDTINST M5212.12, para. 430).	Destroy 10 years from date of issue or denial. (NC1-26-76-2 and NC-26-80-4), items 463, 464, and 430
13	Port Security Record Card (Form CG-3170). Port security card application files consisting of fingerprint card (FD-285), application (Form CG-2685), questionnaire (Form CG –3885) and other related correspondence. (supersedes COMDTINST M5212.12, para. 431 and 432).	Destroy 2 years after card expires. (NC-26-80-4), items 431 and 432
14	Report of deepwater port casualty or accident. (supersedes HQINST M5212.6A, para. 534 and COMDTINST M5212.12, para. 266).	Destroy when 5 years old. (NC1-26-76-2 and NC-26-80-4), items 534 and 266
15	Report of sabotage or subversive activities at a Deepwater Port. (supersedes HQINST M5212.6A, para. 535 and COMDTINST M5212.12, para. 267).	Destroy when 5 years old. (NC1-26-76-2 and NC-26-80-4), items 535 and 267
16	Deepwater port operations manual. (supersedes HQINST M5212.6A, para. 537 and COMDTINST M5212.12, para. 269).	Permanent. Transfer to FRC 1 year after license is terminated. Transfer to NARA 5 years after termination. (NC1-26-76-2 and NC-26-80-4), items 537 and 269
17	Proof of bonding for removal of deepwater port components. (supersedes HQINST M5212.6A, para. 530).	Destroy after port components are removed. (NC1-26-76-2), item 530
18	Copies of American Bureau of Shipping Classification for Single Point Mooring at Deepwater Ports. (HQINST M5212.6A, para. 529).	Destroy 3 years after port license is terminated. (NC1-26-76-2), item 529

ITEM NO.	SSIC 16617 PERSONNEL SCREENING	AUTHORIZED DISPOSITION
1	Intelligence files (personnel-type folders consisting of various intelligence data including correspondence, reports of investigations on military and civilian personnel, merchant seamen, and waterfront workers previously sent to FRC) pursuant to EO 10173 and 10450 with alphabetical index thereto. (supersedes HQINST M5212.6A, para. 461).	Destroy 20 years from date of transfer to FRC. Transfer to FRC 1 year after date of last action. Transfer will be held in abeyance for any individuals still on active duty in the Coast Guard. (NC1-26-76-2), item 461
2	Letters of personnel qualifications for deepwater ports. (supersedes HQINST.6A, para. 536 and COMDTINST M5212.12, para. 268).	Destroy 3 years after termination of employment. (NC1-26-76-2 and NC-26-80-4), items 536 and 268

ITEM NO.	SSIC 16630 VESSEL TRAFFIC MANAGEMENT	AUTHORIZED DISPOSITION
1	Reports, summaries and routine correspondence from other agencies pertaining to movement of merchant vessels. (supersedes HQINST M5212.6A, para. 514).	Destroy when 2 years old. (NC1-26-76-2 and NC-26-80-4), item 514
2	Message reports of vessel movement. (supercedes HQINST M5212.6A para. 515 and COMDTINST M5212.12, para. 224).	Destroy when 3 months old. (NC1-26-76-2 and NC-26-80-4), items 515 and 224
3	Transit logs/merchant ships. (supersedes COMDTINST M5212.12, para. 434).	Destroy when 10 years old. Transfer to FRC when 5 years old. (NC-26-80-4), item 434), item 434
4	Individual transit/voyage data cards; audio tape recordings; computer tapes. (supersedes COMDTINST M5212.12, para. 435, 436, and 439).	Destroy after 30 days. **NOTE**: Material relating to a marine casualty which is not incorporated into an investigation to be preserved may be disposed of only after approval of District Legal Officer. (NC-26-80-4), items 435, 436, 439
5	Video tape recordings. (supersedes COMDTINST M5212.12, para. 437).	Destroy after 24 hours. *See note above. (NC-26-80-4), item 437

6	Film recordings. (supersedes COMDTINST M5212.12, para. 438).	Destroy after 1 year. *See note above. (NC-26-80-4), item 438
7	Computer printouts/statistical summaries. (supersedes COMDTINST M5212.12, para. 440).	Destroy after 1 year. *See note above. (NC-26-80-4), item 440

SSIC 16700-16749 COMMERICAL VESSEL SAFETY

These records relate to the organization and administration of the Coast Guard Commercial Vessel Safety Program, which includes: the inspection and documentation of vessels; the investigation of marine casualties and accidents; the licensing, certificating, shipment and discharge of seamen; the enforcement of vessel inspection; navigation; seamen's laws in general; port safety and security; marine environmental protection; and laws governing safety on structures subject to the provisions of the Outer Continental Shelf Lands Act. The records reflect relations with the maritime industry, including seamen's organizations, ship operators, shipbuilders and manufacturers of equipment, etc. on safety matters.

ITEM NO.	SSIC 16700 COMMERCIAL VESSEL SAFETY	AUTHORIZED DISPOSITION
1	Records created by the Office Merchant Marine Safety documenting the organizational development and administration of the Office of Merchant Marine Safety consisting of the following: (supersedes HQINST M5212.6A, para. 401).	
	a. Official record copy of each directive/publication issued with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 401a
	b. Studies/Surveys conducted by the Office of Merchant Marine Safety.	
	(1) Studies/Surveys resulting in Coast Guard-wide adoption of policy or management programs.	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 401b(1)(a)
	(b) Which are not forwarded to higher authority or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2), item 401b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard wide adoption of policy or management.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 401b(2)

2	General administrative correspondence, reports and related material (excluding primary records) from various activities of Merchant Marine Safety. (supersedes HQINST M5212.6A, para. 402 and COMDTINST M5212.12, para. 185).	Destroy when 2 years old. (NC1-26-76-2 and NC-26-80-4), items 402 and 185
3	Plans, parts lists, etc. which have been specifically furnished to aid vessel systems installation review. (supersedes COMDTINST M5212.12, para. 194).	Destroy upon receipt of superseding issues (i.e. fire extinguishing system typical installation plans, parts lists, etc.) (NC1-26-76-2 and NC-26-80-4), item 194
4	Record material of a routine administrative or housekeeping nature (supersedes HQINST M5212.6A, para. 403).	Destroy when 1 year old. (NC1-26-76-2), item 403
5	Miscellaneous records (routine administrative records of temporary value not provided for elsewhere). (supersedes COMDTINST M5212.12, para. 197, 255 and 280).	Destroy when 2 years old. (NC-26-80-4), items 197, 255, and 280
6	Ship Structure Committee (SSC) (supersedes HQINST M5212.6A, para. 404a and b).	
	a. Records containing minutes and agenda of meetings, reports, correspondence and administrative papers of joint interdepartmental investigations and meetings.	Permanent. Transfer to FRC after 2 fiscal years. Transfer to NARA 20 years after event. (NC1-26-82-13), item 404a
	b. Numbered SSC research investigative reports published for maritime and academic use.	Permanent. Maintain at Headquarters by Secretary for Committee Chairman as active working/reference copy for 30 years. Transfer to NARA when 30 years old in 5 year blocks. (NCI-26-82-13), item 404b
7	Merchant Marine Industry Training Program records. Contains correspondence between student and Office Chief either direct or via the industry training facility. (supersedes HQINST M5212.6A, para 406).	Hold as long as individual remains on active duty. When inactive status takes place, withdraw final report and transfer to FRC. Destroy when 30 years old. (NC1-26-76-2), item 406
8	Merchant Marine Project Safety Files. (supersedes HQINST M5212.6A, para. 409).	Destroy 3 years after completion of project. (NC1-26-83-1), item 409

9	a. CASUALTY MAINTENANCE (CASMAIN SYSTEM). These electronic records consist of information Investigating Officers at Marine Safety field units report on commercial vessel and outer-continental shelf platform incidents, including personnel injuries meeting the criteria in 46 Code of Federal Regulations (CFR) 4.05, 33 CFR 140.201 and 33 CFR 173.55. The records contain incident specific information as well as causal factors derived from each casualty investigation report. Information in the records includes incident types, location and dates, identities of vessel, platforms and injured personnel, and measures of the extent of the casualty. INCLUSIVE DATES; September 1980 and thereafter. ARRANGEMENT STATEMENT; The files are arranged by case number and thereunder by vessel identification number. STATEMENT OF RESTRICTIONS; There are public access restrictions covering medical information relating to injured personnel. CURRENT VOLUME; 1 reel. ESTIMATE OF ANNUAL ACCUMULATION: 1 reel.	Permanent. Cutoff annually. Transfer copy to NARA 6 years after cutoff. Transfer copy of 1980 through 1986 files to NARA 1 month after NARA notified USCG of approval of the schedule. (N1-26-93-4)
	b. CASUALTY MAINTENANCE (CASMAIN) SYSTEM DOCUMENTATION. System specifications, file specifications, codebooks, record layouts, and final reports (regardless of medium) relating to the files. INCLUSIVE DATES: September 1980 and thereafter. ARRANGEMENT STATEMENT; No special arrangement. STATEMENT OF RESTRICITONS; There are no restrictions. CURRENT VOLUME; 1 cu. ft. ESTIMATE OF ANNUAL ACCUMULATION; Less than 1 cu. ft.	Permanent. Transfer copy of documentation with file. Transfer updates and changes annually with subsequent transfer of the file. (N1-26-93-4)

c. VESSEL CASUALTY DATA BASE (VESCAS). These electronic records consist of information of Investigating Officers at Marine Safety field units reporting on commercial vessel incidents meeting the criteria of 46 Code of Federal Regulations (CFR) 4.05-1. The records contain incident specific information. Information in the records includes incident types, location and dates, identities of vessels, and platforms. INCLUSIVE DATES: January 1963 through September 1980. ARRANGMENT STATEMENT; The files are arranged by case number and thereunder by vessel identification number. STATEMENT OF RESPTRICTIONS; There are no restrictions. CURRENT VOLUME: 1 reel. ESTIMATE OF ANNUAL ACCUMULATION: 1 reel.	Permanent. Transfer copy of 1963 through 1980 files to NARA 1 month after NARA notified USCG of approval of the schedule. Cut off annually. (N1-26-93-4)
d. VESSEL CASUALTY DATA BASE (VESCAS) DOCUMENTATION. Systems specifications, file specifications, codebooks, record layouts, and final reports (regardless of medium) relating to the files. INCLUSIVE DATE: January 1963 through 1980. ARRANGEMENT STATEMENT; No special arrangement. STATEMENT OF RESTRICTIONS; There are no restrictions. CURRENT VOLUME: 1 cu. ft. ESTIMATE OF ANNUAL ACCUMULATION; less than 1 cu. ft.	Permanent. Transfer copy of documentation with file. Transfer updates and changes annually with subsequent transfer of the file. (N1-26-93-4)
e. PERSONNEL CASUALTY DATA BASE (PERCAS). These electronic records consist of information Investigating Officers at Marine Safety field units report on personnel injuries meeting the criteria of 46 Code of Federal Regulations (CFR) 4.05-1. The records contain incident specific information as well as casualty factors derived from each casualty investigation report. The records include information about injured personnel and measures of the extent of the casualty. INCLUSIVE DATES; January 1963 through	Permanent. Transfer copy of 1963 through 1980 files to NARA 1 month after NARA notified USCG of approval of the schedule. Cut off annually. (N1-26-93-4)

September 1980. ARRANGEMENT STATEMENT: No special arrangement. STATEMENT OF RESTRICTIONS; There are no restrictions. CURRENT VOLUME: 1 reel. ESTIMATE OF ANNUAL ACCUMULATION: 1 reel.	
f. PERSONNEL CASUALTY DATA BASE (PERCAS) DOCUMENTATION. Systems specifications, file specifications, codebooks, record layouts, and final reports (regardless of medium) relating to the files. INCLUSIVE DATES; January 1963 through September 1980. ARRANGEMENT STATEMENT. No special arrangements. STATEMENT OF RESTRICTIONS; There are no restrictions. CURRENT VOLUME; less than 1 cu. ft. ESTIMATE OF ANNUAL ACCUMULATION: less than 1 cu. ft.	Permanent. Transfer copy of documentation with file. Transfer updates and changes annually with subsequent transfer of the file. (N1-26-93-4)

ITEM NO.	SSIC 16705 INDUSTRY RELATIONS	AUTHORIZED DISPOSITION
1	International Association of Lighthouse Authorities records containing minutes and agenda of Executive Committee meetings, reports, correspondence and administrative papers pertaining to Coast Guard participation. (supersedes HQINST M5212.6A, para. 38).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 38
2	Correspondence pertaining to the Coast Guard's participation in international and national expositions, bicentennials, etc. (supersedes HQINST M5212.6A, para. 39).	Permanent. Transfer to FRC when 3 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 39

3	Documentation initiated by the U.S. Coast Guard consisting of U.S. Delegation Reports, minutes of meetings and related documents pertaining to international maritime organizations concerning U.S. position and representation of various conferences. Documents which have been microfilmed in accordance with GSA regulations concerning microfilming of permanent records.	
	a. Paper document. (supersedes HQINST M5212.6A, para. 37a).	Destroy after completion of quality control edit as outlined in FPRM 101-11.5 (NC1-26-76-2), item 37a
	b. Silver original copy plus one positive copy of each microfilm which is a silver negative.	Permanent. Transfer to NARA annually. (NC1-26-76-2), item 37b
	c. Additional microfilm copies.	Maintain at CG Headquarters as an active working file. (NC1-26-76-2), item 37c

ITEM NO.	SSIC 16710 COMMERCIAL VESSELS	AUTHORIZED DISPOSITION
1	Commercial Vessel Case files consisting of general arrangement drawings, trim and stability booklets or stability calculations if no booklets are available, loading and operating manuals, automation test procedures, fire control plan and stability letters and other related commercial vessel material. Plans, blueprints, forms and related correspondence of documented commercial vessels for design and construction, alteration, conversion, modification equipment and inspection, some “type” approval and dangerous articles data (Excludes Subchapter T Vessels). (supersedes COMDTINST M5212.12, para. 193 and HQINST M5212.6A para 410a).	

a. General arrangement drawings, trim and stability booklets or stability calculations if no booklets are available, loading and operating manual, automation test procedures, fire control plan and stability letters.	
(1) Case files which have been microfilmed. (Note: Commercial vessel cases include "as built" or "retain" plans).	Transfer to COMDT (G-M) 1 year after work on a particular vessel is completed as evidenced by issue of certificate, stability letter of compliance or official report. Destroy paper copy (except admeasurement forms) after case file is microfilmed and quality content edit of microfilm is completed. (NC1-26-84-6), items 410a(1) and 193
(2) Case files which have not been microfilmed.	Destroy paper copy 1 year after vessel is listed as scrapped. (NC1-26-84-6), items 410a(2) and 193
b. Load Line Certificates on U.S. Flag Vessels. (supersedes HQINST M5212.6A, para. 410b).	
(1) Load Line Exemption Certificates. (2) Load Line Certificates issued by classification societies (assigning authorities) other than the American Bureau of Shipping (ABS). (3) Special Service or Limited Voyage Certificates.	Separately maintain the certificates. Destroy when superseded or 1 year after vessel is listed as scrapped. . (NC1-26-84-6), items 410b(1)(2) and (3), 193
c. Remainder of the case file.	Destroy when no longer needed for reference or when 1 year old, whichever is sooner. (NC1-26-84-6), item 193b

2	Plans, parts lists, etc. which have been specifically furnished to aid vessel system installation review, with related correspondence. (supersedes COMDTINST M5212.12, para. 194 and 195).	Destroy on receipt of superseding issues (i.e. fire extinguishing system typical installation plans, parts lists, etc.) (NC1-26-84-6), items 194 and 195
3	Workload reports compiled for Headquarters use. (supersedes COMDTINST M5212.12, para. 196).	Destroy when superseded or obsolete. (NC1-26-84-6), item 196
4	Gas and Chemical Carrier Vessel case files (Letters of Compliance/Permit) plans, blueprints and related correspondence of undocumented vessels. (supersedes HQINST M5212.6A, para. 410c).	Destroy when 20 years old. Transfer to FRC 2 years after plan review, approval or last transaction. (NC1-26-84-6), item 410c Destroy when 20 years old.
5	Public Service Vessel (USNS, CE, Hospital, Drill Rigs, Research Oceanographic, etc.) case files, plans, blueprints, and related correspondence of undocumented vessels. (supersedes HQINST M5212.6A, para. 410d).	Transfer to FRC 2 years after last transaction. (NC1-26-76-2), item 410d
6	Building vessel case files consist of correspondence of dimensions, designs, and plans with ship builders, naval architects, marine engineers; also Vessel Case/Project Standard Subject Heading Notice, Form CG-4639, for proposed ship construction. (supersedes HQINST M5212.6A, para. 410e).	Destroy 5 years after initial submission if project is canceled. Merge with commercial vessel case file (documented or undocumented) if project developed. If merging case file is applicable, destroy Form CG-4639. (NC1-26-76-2), item 410e
7	Applications for Numbers. (supersedes COMDTINST M5212.12, para. 47).	
	a. Application for numbers for undocumented vessels.	Destroy 3 years after expiration of permit or loss of vessel. (NC-26-80-4), item 47a
	b. Current computer or word processor retrieval system of vessel registration. These systems consist of information abstracted from the certificates and other documents which accompanied the vessel owner's application. If none of the above documents is available, establish and maintain a card or similar file system for recording vessel numbers issued.	Transfer current records to states or territories when an approved numbering system has been adopted by the state or territory. Destroy non-current documents and cards when superseded or obsolete. (NC-26-80-4), item 47b

8	Pressure Vessel Plans (Miscellaneous). Plans for miscellaneous pressure vessels, when not assigned to ship's case file. (supersedes COMDTINST M5212.12, para. 214).	
	a. For those pressure vessel plans approved by Commandant G-M) and copies of plans sent to cognizant OCMI and district (mmt).	Destroy plans held by OCMI and district (mmt) after work is completed. (NC-26-80-4), item 214a
	b. For those pressure vessel plans approved by district (mmt) and copies of approved plans sent to Commandant (G-M) and cognizant OCMI.	Destroy plans held by district (mmt) and OCMI after work is completed. (NC-26-80-4), item 214b
	c. For those pressure vessel plans approved by district (mmt) and plans sent only to cognizant OCMI.	Destroy plans held by OCMI when work is completed. The district (mmt) shall transfer the approved plans to Commandant (G-M) when they are no longer needed. Destroy 5 years after last activity. (NC-26-80-4), item 214c
	d. For those pressure vessel plans approved by an OCMI.	Transfer plans to Commandant (G-M) when work is completed and plans are no longer needed. Destroy 5 years after last activity. (NC-26-80-4), item 214d
	e. Pressure Vessels unfired (plans and letters of approval). (supersedes HQINST M5212.6A, para. 413i).	Destroy 5 years after last activity. (NC1-26-76-2), item 413i

ITEM NO.	SSIC 16711 INSPECTION	AUTHORIZED DISPOSITION
1	Traveling Inspectors records consisting of correspondence, reports and other data related to inspection activities of Merchant Marine Safety. (supersedes HQINST M5212.6A, para. 407).	Transfer to commercial vessel case files on completion of inspection or related action. Destroy with related file. (NC1-26-76-2), item 407
2	Officer-in-Charge, Marine Inspection	
	Copy of Collection Voucher-Overtime Services (CG-832c). (supersedes COMDTINST M5212.12, para. 199).	Destroy 2 years after date of document. (NC-26-80-4), item 199

3	Automated Vessel File. Automated system containing certain data elements which appear on a vessel's Certificate of Inspection. (supersedes HQINST M5212. 6A, para. 416).	Updated monthly. Tape maintained at agency for life of Agency. (NC1-26-76-2), item 416
4	Merchant Vessel Inspection Files, Active Certificates of Inspection Amendments, Application for waiver of navigation laws and waiver orders and Division Inspection records. Permits to carry excursion party passengers ship Safety Certificates Report of Structural Failure on Inspected Vessels, Report of Equipment Failure on Inspected Vessels, Cargo Ship Safety Certificates, Report of Traveling Inspectors and related papers, letters reporting change of status of vessels. (supersedes HQINST M5212. 6A, para. 420).	a. Maintain active record in G-M. b. Transfer inactive records to FRC when vessel becomes inactive. Destroy one year after vessel is lost, abandoned, destroyed or scrapped. (NC1-26-76-2), item 420
5	Reports of Material Inspection, Form CG-2801. (supersedes HQINST M5212.6A, para. 421).	Destroy when 1 year old. (NC1-26-76-2), item 421
6	Annual Summary Reports of Material Inspection. (supersedes HQINST M5212.6A, para. 422).	Destroy when 10 years old. (NC1-26-76-2), item 422
7	Monthly reports of inspection activities. (supersedes COMDTINST M5212.12, para. 205).	Destroy when 2 years old. (NC-26-80-4), item 205
8	Lists of merchant vessels under construction or conversion, Form CG-2801A. (supersedes HQINST M5212.6A, para. 423).	Destroy when 1 year old. (NC1-26-76-2), item 423
9	Original or initial vessel inspection files (including Subchapter T Vessels) containing inspection applications, certificates and books, application for waivers of navigation laws and waiver order, SOLAS certificates; F.C.C. certificates, construction and equipment data and correspondence pertaining thereto. May include plans, approval letters, specifications, bills of material and related correspondence. (COMDTINST M5212.12, para. 202).	Permanent. Transfer to FRC 5 years after the initial inspection. Transfer to NARA when 30 years old in 5 year blocks. (NC-26-80-4), item 202

10	Vessel inspection files (other than original or initial files), including Subchapter T Vessels containing inspection applications, certificates and books, application for waivers or navigation laws and waiver order, SOLAS certificates, F.C.C. certificates; construction and equipment data and correspondence pertaining thereto. (COMDTINST M5212.12, para. 203).	Destroy 10 years after completion of inspection. Transfer to FRC 5 years after completion of inspection. (NC-26-80-4), item 203
11	General arrangement drawings, trim and stability booklets or stability calculations if no booklets are available, loading and operating manuals, automation test procedures, fire control plan and stability letters. (supersedes COMDTINST M5212.12, para. 204).	
	a. If review and approval action was accomplished at MIO. (supersedes COMDTINST M5212.12, para. 204a).	Transfer to COMDT (G-M) 1 year after work is completed as evidenced by a certificate, amendment, stability letter, letter of compliance or official report. See also SSIC 16710, item 1 of this Manual. (NC1-26-84-6), item 204a
	b. Reviews and approval accomplished by COMDT (G-M) or a Merchant Marine field technical branch. (supersedes COMDTINST M5212.12, para. 204b).	Destroy when work is completed. (NC1-26-84-6), item 204b
	c. Other related Technical Material. (supersedes COMDTINST M5212.12, para. 204c).	Destroy when no longer needed for reference or when 1 year old, whichever is sooner. (NC1-26-84-6), item 204c
12	Plans, specifications for construction of boilers and components. (supersedes COMDTINST M5212.12, para. 208).	
	a. Plans approved by BMIN personnel prior to March 1942. (Record copy.)	Forward to COMDT (G-M). Destroy 10 years after last date of review. (NC1-26-76-2), item 208a
	b. Copies of plans approved subsequent to March 1942. (Originals at Headquarters.)	Destroy when 2 years old. (NC1-26-76-2), item 208b

13	Manufacturer's Data Report Form, CG 2936. (supersedes COMDTINST M5212.12, para. 209).	Transfer to COMDT (G-M) 5 years after equipment is installed. Destroy 15 years after receipt from marine inspection office (20 years from date of approval). (NC1-26-82-13), item 209
14	X-rays of: welded boiler plates; spot welding on vessels undergoing inspection; and of spot welding on defective castings. (supersedes COMDTINST M5212.12, para. 210-212).	Destroy after acceptance of completed work. (NC1-26-84-6), items 210-212

ITEM NO.	SSIC 16713 DOCUMENTATION	AUTHORIZED DISPOSITION
1	Merchant Vessel Documentation. File folders (covering currently documented vessels) labeled with current vessel name, filed alphabetically and containing documentation pertaining to designation of home port and correspondence relating to the specific vessel. Precedent files containing unique cases and specific legal decisions (supersedes HQINST M5212.6A, para. 437 and 439a).	Permanent. Transfer to FRC 2 years after vessel has been removed from documentation. Transfer to NARA 20 years after removal from documentation. (NC1-26-76-2 and NC-26-80-4), items 437 and 439a
2	Marine Documents (License, enrollment and license, or Register) filed numerically by official number and containing a copy of the award of official number, original of last surrendered document and a copy of the current marine document. (supersedes HQINST M5212.6A, para. 441).	Permanent. Transfer to FRC 2 years after vessel has been removed from documentation. Transfer to NARA 30 years after vessel has been removed from documentation. (NC1-26-76-2 and NC-26-80-4), item 441
3	Card index of official numbers awarded, showing history of vessel. Card index of history of vessels by name which have been withdrawn from documentation. (supersedes HQINST M5212.6A, para. 442 and 443).	Permanent. Maintain at National Vessel Documentation Center. (NC1-26-76-2 and NC-26-80-4), items 442 and 443

4	Files containing background materials used for preparation of procedures on documentation, including build and rebuild, title and ownership, mortgages, home and hail port, change of name, service and use of vessels, issuances of documents, collection of fees, assessment penalties. (supersedes HQINST M5212.6A, para. 438).	Destroy when 10 years old or when usefulness has been served, whichever is sooner. (NC1-26-76-2), item 438
5	Vessel Folders. (Documentation District (m) or OCMI). Vessel folder consists of individual documents maintained at the vessel's home port and contains the following: Master Carpenter's certificates or evidence relating to waiver to production of such certificate, non-recordable instruments and other evidence relating to waiver to claims of title, designations of home port, award of official number, oaths on registry, oaths for renewal, oaths for new or lost documents and declaration of new or alternate master, admeasurement certificate, and all correspondence relating to the specific vessel. (supersedes COMDTINST M5212.12, para. 274).	Permanent. Transfer to FRC 2 years after a vessel change of home port or 2 years after removal from documentation. Transfer to NARA when 20 years old in 5 year blocks. (NC-26-80-4), item 274
6	General correspondence files, other than of a precedent nature pertaining to undocumented vessels and miscellaneous letters. (supersedes COMDTINST M5212.12, para. 275).	Destroy 2 years after close of correspondence. (NC-26-80-4), item 275
7	Recorded instruments. Abstract of title, mortgages, bills of sale, and other conveyances and encumbrances. Currently stored in National Vessel Documentation Center. (supersedes COMDTINST M5212.12, para. 277).	Permanent. Transfer to WNRC when 3 years old. Transfer to NARA when 30 years old. (N1-26-97-1)
8	General Index of Abstract of Title. (Documentation District (m) or OCMI) (supersedes COMDTINST M5212.12, para. 276).	Permanent. Transfer to FRC when inactive. Transfer to NARA when 30 years old in 5 year blocks. (NC-26-80-4), item 276
9	Index of Marine Documents (Form CG-1241) and Records of Vessels (Form CG-2112). (supersedes COMDTINST M5212.12, para. 278).	Permanent. Transfer to FRC when inactive. Transfer to NARA when 30 years old in 5 year blocks. (NC-26-80-4), item 278

10	Deepwater port license applications and licenses. (supersedes HQINST M5212.6A, para. 527 and 528).	Permanent. Transfer to FRC 1 year after termination of license. Transfer to NARA 5 years after termination of license. (NC1-26-82-11), items 527/528
11	Commercial Vessel Case Files. Load Line Certificates on U. S. Flag Vessels. Special Service or Limited Voyage Certificates. (supersedes HQINST M5212.6A, para. 410b(3)).	Destroy when superseded or 1 year after vessel is listed as scrapped. (NC-26-72-2), item 410b(3))
12	Original reports of monthly documentation transactions. (supersedes HQINST M5212.6A, para. 440 and COMDTINST M5212.12, para. 256 and 279).	Destroy when 5 years old. Destroy copies when superseded or obsolete. (NC1-26-76-2 and NC-26-80-4), items 440, 256 and 279
13	Original or initial certificates of Foreign Vessel Control Verification, Inspection Booklet, Cargo Ship Safety Equipment Certification and Pollution Letters of Certification/Non-Certification. (supersedes COMDTINST M5212.12, para. 206).	Destroy immediately after notification that vessel is lost, scrapped, destroyed or abandoned. (NC-26-80-4), item 206
14	Subsequent Certificates of Foreign Vessel Control Verification, Inspection Booklet, Cargo Ship Safety Equipment Certification. (supersedes COMDTINST M5212.12, para. 207).	Destroy when 10 years old. Transfer to FRC 5 years after completion of inspection. (NC-26-80-4), item 207

ITEM NO.	SSIC 16714 EQUIPMENT AND MATERIAL APPROVAL	AUTHORIZED DISPOSITION
1	Equipment Approvals. (supersedes COMDTINST M5212.12, para. 200).	
	a. Plans	Destroy when equipment approval is terminated. (NC-26-80-4), item 200a
	b. Related correspondence.	Destroy when equipment approval is terminated. (NC-26-80-4), item 200b
	c. 5” X ” cards	
	(1) White (Equipment-new or renewal).	Destroy upon receipt of white renewal or blue termination card. (NC-26-80-4), item 200c(1)

	(2) Blue (Equipment terminations).	Destroy upon receipt of white reinstatement card. (NC-26-80-4), item 200c(2)
	d. CGHQ-10030. Advance Copy (flimsy)	Destroy upon receipt of 5" X 8" white or blue card. (NC-26-80-4), item 200d
2	Plans and correspondence for "type" approval equipment for merchant vessels. Included but filed separately are:	
	a. Life Saving and Engineering Equipment (CG-190, 160/162 series). (supersedes HQINST M5212.6A, para. 413a and c).	Destroy 15 years after termination of approval. Transfer to FRC 3 years after termination of approval. (NC1-26-76-2), items 413a and 413c
	b. Electrical Equipment (CG-190, 161 series). (supersedes HQINST M5212.6A, para. 413b).	Destroy 5 years after termination of approval. Transfer to FRC 2 years after termination of approval. (NC1-26-76-2), item 413b
	c. Electrical Equipment Listing (CG-293). (supersedes HQINST M5212.6A, para. 413k).	Destroy when canceled from listing. (NC1-26-76-2 and NC-26-80-4), item 413k
	d. Materials (CG-190, 164 series) (supersedes HQINST M5212.6A, para. 413d).	Destroy 15 years after termination of approval. Transfer to FRC 3 years after termination of approval. (NC1-26-76-2), item 413d
	e. Acceptable hydraulic components (CG-190). (supersedes HQINST M5212.6A, para. 413e).	Destroy 5 years after listing is terminated (i.e. becomes standard). (NC1-26-76-2), item 413e
	f. Watertight doors (letter of approval), (CG-190, 163 series). (supersedes HQINST M5212.6A, para. 413f).	Destroy 20 years after manufacturer discontinues design. Transfer to FRC when manufacturer discontinues design. (NC1-26-76-2), item 413f
	g. Nuclear pressure vessel (plans and letters of approval). (supersedes HQINST M5212.6A, para. 413g).	Destroy 20 years after vessel is deactivated. Transfer to FRC when nuclear vessel is deactivated. (NC1-26-76-2), item 413g

h. Boiler files, includes propulsion boilers, auxiliary boilers, thermal fluid heaters, and boiler welding repairs (alphabetical by manufacturer and chronological by date of review). (supercedes HQINST M5212.6A, para. 413h).	Destroy 10 years after last date of review. (NC1-26-76-2), item 413h
i. Pressure vessels unfired (plans and letter of approval). (supersedes HQINST M5212.6A, para. 413i).	Destroy 5 years after last activity. (NCI-26-82-13), item 413i
j. Piping systems (arrangement drawings, diagrams, component drawings and approval letters). (supersedes HQINST M5212.6A, para. 413m).	Destroy 5 years after last activity. (NC1-26-82-13), item 413m
k. Affidavits for valves, fittings flanges (Form CG-935A). (supersedes HQINST M5212.6A, para. 413l).	Destroy 2 years after termination by letter to manufacturer. (NC1-26-82-13), item 413l
l. Affidavited Manufacturers Catalog (CG-190). (supersedes HQINST M5212.6A, para. 413n).	Destroy after 5 years or on receipt of new catalog. (NC1-26-76-2), item 413n
m. Quality assurance requirements (welding and non-destructive examinations, procedures). (supersedes HQINST M5212.6A, para. 413j).	Destroy 10 years after last activity. (NC1-26-82-13), item 413j
n. Manufacturer Certification and Data Report, Form CG-2936, boilers and pressure vessels (geographical and chronological by date). (supersedes HQINST M5212.6A, para. 413o).	Destroy 15 years after receipt from marine inspection office (20 years from date of approval). (NC1-26-82-13), item 413o
o. Marine Sanitation Devices Case Files (CIM 16714.3, 159 series). Consists of correspondence, plans, tests, reports and miscellaneous small components. (supersedes HQINST M5212.6A, para. 413p).	Maintain in COMDT (G-M) while active. Destroy when 15 years old. Transfer to FRC 3 years after termination. (NC1-26-82-13), item 413p
p. Oil Pollution Abatement Equipment Case Files (CIM 16714.3,162 series). Consists of plans, correspondence, reports, test and report data, and miscellaneous small components. (supersedes HQINST M5212.6A, para. 413q).	Maintain in COMDT (G-M) while active. Destroy when 15 years old. Transfer to FRC 3 years after termination. (NC1-26-82-13), item 413q

3	Welding and Nondestructive Examination Procedures. (supersedes COMDTINST M5212.12, para. 201).	Destroy superseded procedures materials when updated material is received. (NC-26-80-4), item 201
4	Miscellaneous records (routine administrative records of temporary value not provided for elsewhere). (supersedes COMDTINST M5212.12, para. 213).	Destroy when 2 years old. (NC-26-80-4), item 213

ITEM NO.	SSIC 16717 ADMEASUREMENT	AUTHORIZED DISPOSITION
1	Headquarters, District (m) or OCMI Admeasurement Case Files. Includes application forms, plans, sketches, tonnage calculation sheets (CG-1410 or equivalent); copies of tonnage certificates; Headquarters decision; unusual framing systems or other means of tonnage reduction, lines plans, capacity plans or curve plans for vessels of 79 feet or larger that have not been issued an International Tonnage Certificate, and other related material. (supersedes HQINST M5212.6A, para. 410h and COMDTINST M5212.12, para 270).	Permanent. Transfer to FRC 1 year after vessel is scrapped. Transfer to NARA when 20 years old in 5 year blocks. (NC1-26-84-5 and NC1-26-84-6), items 410h and 270
	a. Upon request from Headquarters. (supersedes COMDTINST M5212.12, para. 270a).	Permanent. Transfer to COMDT (G-M) 1 year after certificate of admeasurement has been issued and vessel official number is logged. (NC1-26-84-6), item 270a
	b. Records not requested by Headquarters. (supersedes COMDTINST M5212.12, para. 270b)	Destroy when no longer needed for reference or when 1 year old, whichever is sooner. (NC1-26-84-6), item 270b
2	Optional Simplified Admeasurement Method; (46 CFR 29.17 and 69.19) for Pleasure Vessels and Commercial Vessels. (supersedes COMDTINST M5212.12, para. 273).	Destroy 1 year after documentation. (NC1-26-84-6), item 273
3	Miscellaneous records (routine administrative records of temporary value not provided for elsewhere). (supersedes COMDTINST M5212.12, para. 271).	Destroy when no longer needed for reference or when 1 year old, whichever is sooner. (NC1-26-84-6), item 271

ITEM NO.	SSIC 16720 COMMERCIAL VESSEL PERSONNEL	AUTHORIZED DISPOSITION
1	Merchant Vessel Personnel Records. Seamen's personnel jackets and indexes thereto to include copies of Certificate of Discharge to Merchant Seaman (CG-718A) and Records of Entry in Continuous Discharge Book. (supersedes HQINST M5212.6A, para. 425).	
	a. Paper copy of microfilmed records.	Destroy when ascertained that reproduced copies have been made in accordance with NARA regulation and are adequate substitute of the paper record copy. (NC1-26-76-2), item 425a
	b. Microfilm or paper copy of records not microfilmed.	Destroy 60 years after last discharge or evidence of death is reviewed, whichever is sooner. Transfer paper copy of unfilmed records to FRC 3 years after last discharge or evidence of death is received, whichever is sooner. (NC1-26-76-2), item 425b
2	Merchant seamen's case file *copies* of converted temporary Merchant Marine Documentation (MMD), application for seamen's documents and ratings, endorsement cards, investigation records and related correspondence. (supersedes COMDTINST M5212.12, para. 251).	Destroy when 7 years old. Transfer to FRC when 5 years old. (NC1-26-82-12), item 251
3	Original of Shipping Articles containing agreements between seaman and masters and/or companies. (supersedes HQINST M5212.6A, para. 427).	Destroy when 50 years old. Transfer to FRC when 3 years old. (N1-26-86-1), item 427
4	Reports of monies received from the sale of duplicate documents. (supersedes COMDTINST M5212.12, para. 252).	Destroy when 1 year old. (NC-26-80-4), item 252
5	Personnel case files (misconduct, negligence, incompetence; etc.) except those cases taken to a hearing. (supersedes COMDTINST M5212.12, para. 228).	Destroy 5 years after case is closed. (NC-26-80-4), item 228

6	Disciplinary record cards. (supersedes HQINST M5212.6A, para. 433).	Transfer to seaman's jackets upon notice of death. See No. 1 above. (NC1-26-76-2), item 433
7	Approved applications for original seamen's documents and validated documents if applicant has not returned for issuance of document. (supersedes COMDTINST M5212.12, para. 253).	Destroy bottom half (CG Form 719B) when 2 years old and forward upper half to COMDT (G-M). See No. 1 above. (NC-26-80-4), item 253
8	Evidence of death. (supersedes COMDTINST M5212.12, para. 254).	Destroy records other than licenses, documents or other paper of possible historical value which are to be transferred to COMDT (G-M) for inclusion in the seaman's permanent record. (See item 1. above) (NC1-26-76-2), item 254

ITEM NO.	SSIC 16721 LICENSING AND CERTIFICATING	AUTHORIZED DISPOSITION
1	Original Card Records of licenses issued to merchant marine office containing data and place of birth, citizenship, type and serial number of license and where and when issued, suspension, revocation, restoration, renewal, notice of failure in examination and record of endorsement on license. (supersedes HQINST M5212.6A, para. 426).	Destroy 30 years after license expires. Transfer to FRC 12 years after license expires. (NC1-26-76-2), item 426
2	License applications evaluated by Commandant. (License refused by OCMI, District (m) allowed by Commandant. Application never returned or made appeal. (supersedes COMDTINST M5212.12, para. 259).	Destroy when 50 years old. Transfer to FRC when 5 years old. (NC-26-80-4), item 259
3	Official log book (Merchant Marine). (supersedes COMDTINST M5212.12, para. 237).	Permanent. Transfer to FRC 6 months after last transaction. Transfer to NARA when 30 years old. (NC-26-80-4), item 237

4	Certification and seamen examination question and answer sheets. (supersedes COMDTINST M5212. 257).	
	a. Examination question and answer sheets received from CG Institute.	Destroy examination questions when no longer needed. (NC1-26-82-12), item 257a
	b. Examination question and answer sheets locally prepared, administered and graced by OCMI.	1) Destroy examination questions when no longer needed. (NC1-26-82-12) 2) Destroy answer sheets when 6 months old. (NC1-26-82-12), item 257b
5	Unacted upon license or certificate of registry applications. Applications made and approval for license/certificate, but never picked up. (supersedes COMDTINST M5212.12, para. 258).	Destroy 1 year after recency of service and physical requirements are met. (NC1-26-82-12), item 258
6	Merchant Marine License Officers files (Deck, Engineer) containing applications, physicals, canceled licenses, examination questions and answers and cover sheet. (supersedes COMDTINST M5212.12, para. 246).	
	a. Examination question, answer and cover sheet. (supersedes COMDTINST M5212.12, para. 246a).	1) OCMI return to CG Institute immediately following examination. 2) CG Institute destroy answer sheets 1 year after receipt from OCMI. 3) CG Institute destroy examination questions and cover sheets immediately. (NC1-26-84-9), item 246a
	b. Remainder of the file contains the applications, physicals, cancelled licenses. (supersedes COMDTINST M5212.12, para. 246b).	Destroy when 50 years old. Transfer to FRC when 7 years old. (NC-26-80-4, item 246b
7	Certificate of registry of staff officer. (supersedes COMDTINST M5212.12, para. 247).	Destroy when 50 years old. Transfer to FRC when 7 years old. (NC-26-80-4), item 247
8	Radio officer license file. (supersedes COMDTINST M5212.12, para. 248).	Destroy when 50 years old. Transfer to FRC when 6 years old. (NC-26-80-4), item 248

9	Records of license issued and related card files. License book stub. (supersedes COMDTINST M5212.12, para. 249 and 250).	Destroy when 7 years old. (NC-26-80-4), items 249 and 250

ITEM NO.	SSIC 16730 VIOLATIONS AND CASUALTIES	AUTHORIZED DISPOSITION
1	Automated commercial vessel casualty file-automated system containing data relating to system containing data relating to vessel casualties as defined by 46 CFR 4.05. (supersedes HQINST M5212.6A, para. 415)**.**	Update annually. Tape maintained at agency for life of Agency. (NC1-26-76-2), item 415
2	Marine Investigation Records. Marine Board case files set up to investigate major marine disasters, including papers such as those pertaining to organization of the Board, proceedings, hearings decisions and the investigative report, together with inquiries, exhibits, photographs, and ADP print outs. (supersedes HQINST M5212.6A, para. 428).	a. Permanent. Record copy of investigation report maintained at agency as active reference material. b. Case Files—destroy 25 years after report is published. Transfer to FRC 1 year after report is published. (NC-26-76-2 and NC-26-80-4), item 428
3	Copies of Reports of International Marine Pollution Prevention Convention Violations. (supersedes COMDTINST M5212.12, para. 226).	Destroy when 1 year old. (NC-26-76-2), item 226
4	**Copies** of marine casualty case files including the record of proceedings and the investigative reports or the Marine Boards of Investigation, investigations of casualties involving death, investigations of vessel casualties and investigations of cases involving injuries. (supersedes COMDTINST M5212.12, para. 227).	Destroy when 5 years old. (NC1-26-76-2 and NC-80-4), item 227
5	Casualty case file on investigations of marine casualties, including personal injuries containing report of marine casualties and records including transcripts of testimony, inquiries, exhibits, photographs, and ADP print out. (supersedes HQINST M5212.6A, para. 429).	Destroy when 10 years old. Transfer to FRC when 3 years old. (NC1-26-76-2 and NC-80-4), item 429
6	Miscellaneous vessel casualties. (supersedes HQINST M5212.6A, para. 430).	Destroy when 5 years old. (NC1-26-76-2), item 430

7	Coast Guard Administrative Law Judges Decisions, Opinions and Orders. (Includes Report of Hearing). Documents that have been microfilmed in accordance with NARA regulations concerning microfilming permanent records. (supersedes HQINST M5212.6A, para. 431).	
	a. Paper document.	Destroy after microfilming and completion of quality control edit as outlined in FPMR 101-11.5 pertaining to permanent records. (NC1-26-78-3), item 431a
	b. Silver original copy plus one positive copy of each microfilm which is a silver negative.	Permanent. Transfer to NARA annually. (NC1-26-78-3), item 431b
	c. Additional microfilm copies.	Maintain at Coast Guard Headquarters as an active working file. Destroy when no longer useful. (NC1-26-78-3), item 431c
	d. Documents which have not been microfilmed.	Permanent. Transfer to FRC 5 years after final administrative action. Transfer to NARA 20 years after final administrative action. (NC1-26-78-3), item 431d
8	National Transportation Safety Board Decisions and Orders. (supersedes COMDTINST M5212.12, para. 191).	Retain in Document Inspection Facility for public inspection. See Part 7. CFR 29. (Non-record) (NC1-26-80-4), item 191
9	Administrative penalty case files. (supersedes COMDTINST M5212.12, para. 186).	Destroy 3 years after case is closed. (NC1-26-80-4), item 186
10	Merchant Seaman suspension and revocation appeal case files (excluding Commandant appeal decisions) Record copy of transcript of proceedings and related correspondence. (supersedes HQINST M5212.6A, para. 432).	Transfer to FRC when 1 year old. Destroy when 25 years old. (NC1-26-76-2), item 432
11	Commandant Appeal Decisions (supersedes HQINST M5212.6A, para. 432).	Maintain at agency (G-LMI) as an active working file. Destroy when inactive. (NC1-26-76-2), item 432a

12	Statistical reports of marine investigation and hearings. (supersedes HQINST M5212.6A, para. 434).	Destroy when 10 years old. (NC1-26-76-2), item 434
13	Copies of reports of investigations to include Forms CG-924E (Report of Personal Injury or Loss of Life) and CG-2692 (Report of Marine Casualty or Accident), letters of transmittal. (supersedes COMDINST M5212.12, para. 187).	1) Destroy upon completion of district action. All records created after 1982. Do not retire to FRC. (NC1-26-83-2), item 187a 2) All records retired to FRC before 1983, destroy when 5 years old. (NC1-26-83-2), item 187b
14	Copies of Marine Boards of Investigations. (supersedes COMDINST M5212.12, para. 188).	
	a. Copies that refer to the district where a Marine Board of Investigation was convened.	Destroy when 5 years old. (NC1-26-83-2), item 188a
	b. Copies of Marine Board of Investigations sent to other districts.	Destroy when 2 years old. (NC1-26-83-2), item 188b
	c. Copies of correspondence and related material pertaining to the conduct, physical or mental incompetency of merchant seamen.	Destroy when 1 year old. (NC1-26-83-2), item 188c
15	Copies of Commandant's decisions or appeals under RS 4450. (supersedes COMDTINST M5212.12, para. 189).	Retain in Document Inspection Facility for public inspection (See Part 7, CFR 49). (Non-record), item 189
16	Record copy of National Appeal Board Security Hearing wire records, stenographic tapes or notes in all cases which have resulted in continued denial for Port Security Card or Mariner's Document. (supersedes HQINST M5212.12, para. 435).	Transfer to FRC after Commandant notifies holder of document or applicant for document that appeal is denied. Destroy 25 years after appeal is denied. (NC1-26-83-2), item 435
17	Hearing records and associated unit case files. (supersedes COMDTINST M5212.12, para. 229).	Destroy 5 years after final administrative action. (NC1-26-83-2), item 229

SSIC 16750-16799 RECREATIONAL BOATING SAFETY

ITEM NO.	SSIC 16750 RECREATIONAL BOATING SAFEFY	AUTHORIZED DISPOSITION
1	Records created by the Office of Boating, Public & Consumer Affairs documenting the organizational development and administration consisting of the following: (supersedes HQINST M5212.6A, para. 61).	
	a. Official record copy of each directive/publication issued by the office with significant background material.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NC1-26-76-2), item 61a
	b. Studies/Surveys conducted by the Office of Boating, Public & Consumer Affairs.	
	(1) Studies/Surveys which resulted in Coast Guard-wide adoption of policy or management programs:	
	(a) Which are forwarded to higher authority and included in a formal publication by the higher authority.	Destroy 5 years after publication of the study by higher authority or when usefulness has been served, whichever is later. (NC1-26-76-2), item 61b(1)(a)
	(b) Which are not forwarded to higher authority or published by the higher authority.	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years. (NC1-26-76-2), item 61b(1)(b)
	(2) Studies/Surveys which did not result in Coast Guard-wide adoption of policy or management programs.	Destroy when 5 years old or when usefulness has been served, whichever is later. (NC1-26-76-2), item 61b(2)
2	General administrative correspondence files (excluding primary program records above) from various activities for the administrative and general management of Coast Guard affairs. (supersedes HQINST M5212.6A, para. 62).	Destroy when 5 years old. (NC1-26-76-2), item 62
3	Record material of a routine administrative or housekeeping nature. (supersedes HQINST M5212.6A, para. 63).	Destroy when 3 years old. (NC1-26-76-2), item 63

4	Program planning and evaluation studies (issue studies, policy studies, position studies). (supersedes HQINST M5212.6A, para. 64).	Destroy issue studies when 10 years old, policy studies when 8 years old, and position studies when 6 years old. (NC1-26-76-2), item 64
5	Conference Records. Minutes of conferences with State Boating Law Administrators. (supersedes COMDTINST M5212.12, para. 45).	Destroy when 3 years old. (NC1-26-80-4), item 45
6	Boat Consumer Complaints. (supersedes HQINST M5212.6A, para. 80).	Destroy when 15 years old. Transfer to FRC when 5 years old. (NC1-26-76-2, item 80
7	a. Recreational Boating Accident Report System. These electronic records consist of statistical information taken from Boating Accident Reports submitted to the U.S. Coast Guard in accordance with 46 U.S.C. 6102(a). The reports received are used to generate statistics on marine casualties. The owner/operator of a vessel submits the accident report when, as a result of an occurrence that involves the vessel or equipment: (1) a person dies; (2) a person is injured and requires medical treatment beyond first aid; (3) damage to the vessel and other property totals more than $500 or there is a complete loss of a vessel; or (4) a person disappears from the vessel under circumstances that indicate death or injury. Some of the information covered in the records are: county, State and type of body of water; the number of deaths; the number of injuries; the type of vessel; the type of accident; the cause of the accident; and the type, propulsion, hull material, manufacturer's code and year built of the reporting operator's vessel. (January 1969 and thereafter) ARRANGEMENT STATEMENT; The files are arranged by year, thereunder alphabetically by State, and thereunder by case number. STATEMENT OF RESTRICITONS. There are no restrictions. CURRENT VOLUME; 1 reel ESTIMATE OF ANNUAL ACCUMULATION: 1 reel.	Permanent. Transfer copy to NARA. (N1-26-93-2)

	b. Recreational Boating Accident Report Documentation. Systems specifications, file specifications, codebooks, record layouts, and final reports (regardless of medium) relating to the files. (January 1969 and thereafter) ARRANGEMENT STATEMENT: No special arrangement. STATEMENT OF RESTRICTIONS: There are no restrictions. CURRENT VOLUME. 1 CU. FT. ESTIMATE OF ANNUAL CCUMULATION: LESS THAN 1 CU. FT.	Permanent. Transfer copy of documentation with file. Transfer updates and changes annually with subsequent transfer of the file. (N1-26-93-2)
8	Working files of directives, including all those superseded and related manuscripts of publications and circulars on boating safety activity. (supersedes HQINST M5212.6A, para. 65).	Destroy when superseded or obsolete. (NCI-26-76-2), item 65
9	National Safe Boating Week Committee history files. (supersedes HQINST M5212.6A, para. 74).	Permanent. Transfer to FRC when 5 years old. Transfer to NARA when 20 years old. (NCI-26-76-2), item 74
10	Boating Safety Advisory Council (BSAC) records including minutes, records, recommendations, etc. (supersedes HQINST M5212.6A, para 83).	Permanent. Transfer to FRC when 10 years old. Transfer to NARA when 20 years old. (NCI-26-76-2), item 83

ITEM NO.	SSIC 16761 BOATING STANDARDS	AUTHORIZED DISPOSITION
1	Compliance Testing Results. (supersedes HQINST M5212.6A, para. 81).	
2	a. Passing Test.	Destroy when 5 years old. (NC1-26-76-2), item 81a
	b. Failing Test.	Destroy when 20 years old. Transfer to FRC when 5 years old. (NC1-26-76-2), item 81b

ITEM NO.	SSIC 16762 DEFECT NOTIFICATION	AUTHORIZED DISPOSITION
1	Notifications of defects or compliance failures and related documents. (supersedes HQINST M5212.6A, para. 82).	Destroy when 20 years old. Transfer to FRC when 5 years old. (NC1-26-76-2), item 82

ITEM NO.	SSIC 16782 ACCIDENT INVESTIGATIONS	AUTHORIZED DISPOSITION
1	Boating accident investigations case files of fatal boating accidents, including related documents and photographs. (supersedes HQINST M5212.6A, para. 69).	
	a. Paper documents.	Destroy after case file is microfilmed in accordance with FPMR 101-11-5 (applying standards for non-permanent records to be held 10 years or more) and quality content edit of microfilm is completed. (NC1-26-76-2), item 69a
	b. Photographs and photographic negatives.	Destroy when 10 years old. (NC1-26-76-2), item 69b
	c. Microfilm of paper documents and unfilmed paper documents.	Destroy when 10 years old. (NC1-26-76-2), item 69c
2	Boating Investigations and Reports. (supersedes COMDTINST M5212.12, para. 46).	
	a. Investigations of boating fatalities (marine casualties).	
	(1) Reports of Investigation.	Destroy 5 years after investigation is completed. (NC1-26-76-2), item 46a(1)
	(2) Marine Boards.	Destroy when 10 years old. (NC1-26-76-2), item 46a(2)
	b. Boating Accident Report case files.	Destroy 1 year after final action. (NC1-26-76-2), item 46b

ITEM NO.	SSIC 16790 COAST GUARD AUXILIARY	AUTHORIZED DISPOSITION
1	Board meetings. (supersedes COMDTINST M5212.12, para. 60a-b).	
	a. Copies of minutes of district board meetings, decisions and recommendations of district boards.	Destroy when 10 years old. Transfer to FRC when 5 years old. (NC1-26-80-4), item 60a
	b. Annual schedule of district board meetings.	Destroy when 3 years old. (NC1-26-80-4), item 60b
2	News articles on auxiliary activities. (supersedes COMDTINST M5212.12, para. 61).	Destroy when 1 year old. (NC1-26-80-4), item 61
3	Unit personnel files. (supersedes COMDTINST M5212.12, para. 64 a-c).	
	a. Annual district directory of auxiliary officers, and each amendment thereto.	Destroy when 10 years old. (NC1-26-80-4), item 64a
	b. Copies of reports of change of address of district commodores, district vice commodores, and district rear commodores.	Destroy when 1 year old. (NC1-26-80-4), item 64b
	c. Quarterly flotilla rosters and monthly alphabetical listings.	Destroy when 2 years old. (NC1-26-80-4), item 64c
4	Facility decals. Records of all facility decalcomania, by serial number, issued to members of the auxiliary. (supersedes COMDTINST M5212.12, para. 65).	Destroy when 3 years old. (NC1-26-80-4), item 65
5	Excess property. Files of auxiliary unit requests for excess property or material. (supersedes COMDTINST M5212.12, para. 66).	Destroy when 3 years old. (NC1-26-80-4), item 66
6	Cumulative summary. (supersedes COMDTINST M5212.12, para. 67a-b).	
	a. Weekly cumulative summary by district and monthly cumulative division summary by flotilla.	Destroy final report of year when 4 years old. (NC1-26-80-4), item 67a

	b. All other copies.	Destroy when 2 years old. (NC1-26-80-4), item 67b
7	Individual personnel folders. Personnel jackets for members of Coast Guard auxiliary. (supersedes COMDTINST M5212.12, para. 62).	Destroy when 30 years old. Transfer to FRC 2 years after disenrollment or death of member. (NC1-26-80-4), item 62
	b. Unit personnel files. (supersedes COMDTINST M5212.12, para. 63a-c).	
	(1) Annual district directory of auxiliary officers, and each amendment thereto.	Destroy when 10 years old. Transfer to FRC when 3 years old. (NC1-26-80-4), item 63a
	(2) Copies of reports of change of address of district commodores, district vice commodores and district rear commodores.	Destroy when 1 year old. (NC1-26-80-4), item 63b
	c. Quarterly flotilla rosters and monthly alphabetical listings.	Destroy when 2 years old. (NC1-26-80-4), item 63c

SECTION III

General Records Schedules 1-25

- Transmittal No. 8 - General Records Schedules, December 1998
- Transmittal No. 9 - (GRS 1, 9, 25), April 24, 2003
- Transmittal No. 10 - (GRS 24), April 28, 2003
- Transmittal No. 11 - (GRS 1), December 31, 2003

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GRS Transmittal No. 8, issued December 21, 1998, revised and reissued all General Records Schedules except General Records Schedule 20, Electronic Records, which was issued by GRS Transmittal No. 7 in August, 1995. These transmittals are available from records.mgt@nara.gov**.**

TRANSMITTAL NO. 9 (GRS 1, 9, 25)

To: Heads of Federal agencies

1. **What does this document do?**

   GRS Transmittal 9 explains the changes to GRS 1 (Civilian Personnel Records) and 9 (Travel and Transportation Records), and issues a new schedule for Ethics Program Records (GRS 25). These are the changes that have been made to the General Records Schedules (GRS) since December 1998 when we last issued the GRS. The General Records Schedules (GRS) provide mandatory disposition instructions for temporary administrative records common to several Federal agencies.

2. **What changes have been made to the GRS?**

   The attached chart shows the major changes. GRS 1, item 15, covering Employment Applications, has been deleted. Use GRS 1, items 33k, 33l, 33m, or 33n, as appropriate.

3. **Do I have to take any action to implement these GRS changes?**

   Our regulations (36 CFR 1228.50(d)) require you to disseminate GRS changes within 6 months of receipt. If your agency already has a NARA-approved agency records disposition schedule for the same series or system of records, you may apply either the disposition instructions in these GRS or the disposition instructions previously approved by NARA (see 36 CFR 1228.42(b)). The chosen authority must be applied on an agency-wide basis. You must notify NARA within 90 days of this GRS Transmittal No. 9 if you intend to continue using the agency schedule. If you wish to apply a retention period that differs from that specified in the GRS, you must submit a Standard Form (SF) 115, Request for Records Disposition Authority, to us for approval.

4. **What do I do with Ethics Program records in my agency that are not covered by GRS 25**?

   If the Ethics Program records in your agency are not covered by GRS 25 but are included in other approved disposition authorities, those authorities still apply. If Ethics Program records in your agency are not covered by GRS 25 or an approved disposition authority, you must submit to NARA a SF 115 to request disposition authority for those records.

5. **How do I get copies of the new GRS?**

   We are posting a set on our web site (http://www.archives.gov/records_management/records_schedules.html). GRS 25 is available for downloading in HTML, MS Word, and PDF formats.

6. **What is the status of GRS 24?**

   A new GRS for information technology records will be issued shortly. We will send it to you with another GRS transmittal.

7. **Whom do I contact for further information**?

   Please contact Stephen Cooper at 301-837-1615 if you have any questions.

JOHN W. CARLIN
Archivist of the United States

Attachment

GRS Affected	Old GRS	New GRS
GRS 1, Civilian Personnel Records	Item 15	Deleted
	Item 24	GRS 25, Item 2
	Item 27	GRS 25, item 1
	Item 33b	Item 33b – revised description
	New item	Item 33c – new item
	Item 33c	Item 33d
	Item 33d	Item 33e
	Item 33e	Item 33f – revised series description and disposition

	Item 33f	Item 33g – revised disposition
	Item 33g	Item 33h
	Item 33h	Deleted
	Item 33i	Item 33i
	Item 33j	Item 33j
	New item	Item 33k
	Item 33k	Item 33l – revised disposition
	New item	Item 33m – new item
	New item	Item 33n – new item
	Item 33l	Item 33o
	Item 33m	Item 33p – revised series description and disposition
	Item 33n	Item 33q – revised disposition
	Item 33o	Item 33r
	Item 33p	Item 33s
	Item 33q	Item 33t
GRS 9, Travel and Transportation Records	Item 6	GRS 25, item 5
GRS 25, Ethics Program Records		New chapter covering agency ethics records

TRANSMITTAL NO. 10 (GRS 24)

To: Heads of Federal agencies

1. **What does this document do**?

   GRS Transmittal 10 transmits General Records Schedule (GRS) 24, which provides disposition authorities for Information Technology (IT) Operations and Management Records common to most or all Federal agencies.

2. **What are agency GRS 24 responsibilities**?

   Agencies are to apply the dispositions contained in GRS 24 to their IT Operations and Management records, unless your agency already has a NARA-approved agency records disposition schedule for the same series or system of records. In that case, 36 FR 1228.42(b) allows you to apply either the disposition instructions in GRS 24 or the disposition instructions previously approved by NARA. The chosen authority must be applied on an agency-wide basis. You must notify NARA within 90 days of this GRS Transmittal No. 10 if you intend to continue using the agency schedule.

3. **How do I apply GRS 24 to IT Operations and Management records in my agency**?

   Identify the IT Operations and Management records in your agency, compare those records with the records listed in GRS 24, and for those records included in GRS 24, apply the dispositions. A finding aid to the records covered by GRS 24 is included with this transmittal and it will help you identify your agency records included in the GRS.

3. **What do I do if my agency needs to deviate from the disposition provisions in GRS 24**?

   As required by NARA regulation 36 FR 1228.42(c), if an agency needs to deviate from the mandatory disposition provisions an SF 115, Request for Records Disposition Authority, must be submitted to NARA. A written justification explaining why the agency needs the records for a different period of time must accompany the SF 115.

5. **What do I do if I already have an approved disposition authority that covers the IT Operations and Management records in my agency**?

   As prescribed by 36 FR 1228.40 and 1228.42, if your agency has an approved disposition authority for its IT Operations and Management records, that authority may be applied if you notify NARA in writing.

6. **What do I do with IT Operations and Management records in my agency that are not covered by GRS 24**?

   If the IT Operations and Management records in your agency are not covered by GRS 24 but are included in other approved disposition authorities, those authorities still apply. If IT Operations and Management records in your agency are not covered by GRS 24 or an approved disposition authority, you must submit to NARA an SF 115 to request disposition authority for those records.

7. **How is GRS 24 being distributed**?

   GRS 24 is being distributed electronically via email to your agency records officer.

8. **How do I get other copies of GRS 24**?

   GRS 24 is available for downloading from the NARA web site (http://www.archives.gov/records_management/records_schedules.html) in HTML, MS Word, and PDF formats.

9. **How does GRS 24 affect the other general records schedules covered by GRS Transmittal 8**?

   GRS 24 is a new general records schedules. The general records schedules covered by GRS Transmittal 8 are still in force.

10. **Whom do I contact for further information**?

    Address questions to the appraiser in our Life Cycle Management Division with whom your agency normally works.

JOHN W. CARLIN
Archivist of the United States

TRANSMITTAL NO. 11 (GRS 1)

To: Heads of Federal agencies

1. **What does this document do**?

   GRS Transmittal 11 provides a change to General Records Schedule (GRS) 1, Civilian Personnel Records. GRS 1 was last modified in April 2003. The GRS provide mandatory disposition instructions for temporary administrative records common to several Federal agencies.

2. **What changes have been made to GRS 1**?

   GRS 1, item 27, previously reserved, has been revised to cover Alternative Dispute Resolution records.

3. **Do I have to take any action to implement this GRS change**?

   Our regulations (36 CFR 1228.50(d)) require you to disseminate GRS changes within 6 months of receipt. If your agency already has a NARA-approved agency records disposition schedule for the same series or system of records, you may apply either the disposition instructions in these GRS or the disposition instructions previously approved by NARA (see 36 CFR 1228.42(b)). The chosen authority must be applied on an agency-wide basis. You must notify NARA within 90 days of this GRS Transmittal No. 11 if you intend to continue using the agency schedule. If you wish to apply a retention period that differs from that specified in the GRS, you must submit a Standard Form (SF) 115, Request for Records Disposition Authority, to us for approval.

4. **What do I do with Alternative Dispute Resolution records in my agency that are not covered by GRS 1, Item 27**?

   If the Alternative Dispute Resolution records in your agency are not covered by GRS 1, Item 27 but are included in other approved disposition authorities, those authorities still apply. If Alternative Dispute Resolution records in your agency are not covered by GRS 1, Item 27 or an approved disposition authority, you must submit to NARA a SF 115 to request disposition authority for those records.

5. **How do I get copies of the new GRS 1**?

   We are posting a set of the GRS on our web site (http://www.archives.gov/records_management/records_schedules.html). GRS 1 is available for downloading in HTML, MS Word, and PDF formats.

6. **Whom do I contact for further information**?

   Address questions to the appraiser in our Life Cycle Management Division with whom your agency normally works.

JOHN W. CARLIN
Archivist of the United States

INTRODUCTION TO THE GENERAL RECORDS SCHEDULES

General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposal authorization for temporary administrative records common to several or all agencies of the Federal Government. They include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions, and certain nontextual records. These records comprise an estimated one-third of the total volume of records created by Federal agencies.

In 1978, use of the GRS was made legally mandatory. The disposal authorizations must be used by a Federal agency to the greatest extent possible. Because these schedules are designed to cover records common to several agencies, many of the records descriptions are general. Agency records officers may either use the schedules as an appendix to an agency printed schedule or tailor the general schedules to the agency's own particular needs and incorporate them into agency schedules.

The GRS covers only records that are common among several agencies. For complete coverage of the disposition of all its records, each agency must independently develop schedules for the remaining records. Agencies should exercise particular care in applying items in GRS 1-16 and 18 to subject or correspondence files that may include a mix of administrative and program records. Usually, administrative subject files have short retention periods, less than 3 years. Program subject files may be needed by the agency for 10 years or more, and may have archival value as well. Except when the volume of administrative records is negligible, agencies should maintain administrative records separately from program records in their agency recordkeeping systems. If administrative records are mixed with program records in the recordkeeping system and cannot be economically segregated, the entire file must be kept for the period of time approved for the program records. Similarly, if documents described in the GRS are part of a subject or case file that documents activities different from those covered by the schedules, they should be treated in the same manner as the files of which they are a part.

For more information on scheduling records not covered by the GRS, including potentially permanent records, see the Disposition of Federal Records Handbook. Also, the National Archives and Records Administration (NARA) has prepared a series of instructional guides that provide information on scheduling nontextual records that are not covered by the GRS. The handbook and separate guides on electronic records, audiovisual records, and cartographic and architectural records are available from the National Archives and Records Administration (NWCP), Room G-9, Washington, DC 20408.

GRS items cover only record copies. In some instances, more than one copy of a document or file would be considered a record if different offices use it to perform different functions. When it is difficult to decide whether files are record or nonrecord materials, the records officer should treat them as records. Records officers may consult with the NARA Life Cycle Management Division (NWML) to determine the record or nonrecord status of particular files.

The disposition instructions in the GRS are to be implemented without further approval from NARA, with the exception that most records created before January 1, 1921, must first be offered to NARA for appraisal. If NARA rejects these records they may be destroyed immediately. GRS 3, 11, 16, and 21 have other delimiting dates. Agencies that convert records covered by the GRS to microform should apply the GRS disposition standards to the microform copies and destroy the paper copies after verification of the film unless legal considerations require longer retention of the paper (36 CFR 1230.10(b)). No further authorization from NARA is required to implement these provisions. If an agency wishes to apply a different retention period for any series of records included in the GRS, the records officer must submit a Standard Form (SF) 115 providing justification for the deviation.

The GRS includes two indexes, an alphabetical Subject Index and an index of commonly used Standard and Optional Forms. The forms index includes only the forms most frequently used by the various Government agencies.

A new item has been added to GRS 1-16, 18, and 23 to provide disposition instructions for electronic mail and word processing copies, maintained apart from the recordkeeping copy, of the records described in the other items in those schedules. The other items authorize the disposition of the recordkeeping copy. The electronic mail and word processing records covered by the new item in each of those schedules are those that remain in personal and shared directories after the recordkeeping copy has been produced, and electronic copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Questions of applicability of any GRS item to agency records or differences of interpretation between the records officer and other agency personnel that cannot be reconciled within the agency may be referred to the Director, Life Cycle Management Division (NWML), NARA, from offices in the Washington, DC area, or the NARA regional records services facility from offices outside the Washington, DC area.

Some records series covered by the GRS are eligible for retirement to the Washington National Records Center or to records center storage in a NARA regional records services facility. Records should be retired from agency space to such storage only if transfer costs do not exceed the expense of retaining them in agency space. Records sent to records center storage in a NARA facility should have a remaining retention of at least 1 year. If special circumstances, such as lack of filing equipment or space, make it imperative that records be retired, exceptions can be made to this policy. These decisions are made on an individual basis by the appropriate NARA facility director. Procedures for transfer of records to records center storage in a NARA facility are found in NARA regulations (36 CFR 1228.152).

GENERAL RECORDS SCHEDULE 1

Civilian Personnel Records

Agency civilian personnel records relate to the supervision over and management of Federal civilian employees. This schedule covers the disposition of Official Personnel Folders of civilian employees and other records relating to civilian personnel, wherever located in the agency. Specifically excluded are program records of the Office of Personnel Management (OPM), the Bureau of Medical Services (PHS/HHS), the Office of Workers' Compensation Programs (DOL), and the Equal Employment Opportunity Commission. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) for appraisal before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, the Service Record Cards, and the Employee Medical Folders, are maintained according to *The Guide to Personnel Recordkeeping*, an OPM manual that prescribes a system of recordkeeping for Federal personnel.

1. Official Personnel Folders (OPFs).

   Records filed on the right side of the OPF. (See GRS 1, item 10, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by NARA for permanent retention.

   a. Transferred employees.

      See Chapter 7 of *The Guide to Personnel Recordkeeping* for instructions relating to folders of employees transferred to another agency.

   b. Separated employees.

      Transfer folder to National Personnel Records Center (NPRC), St. Louis, MO, 30 days after latest separation. [See note (2) after this item]. NPRC will destroy 65 years after separation from Federal service.

[**NOTES**: (1) OPFs covering periods of employment terminated prior to January 1, 1921, are not covered by this item. If an agency has such files, it should contact NARA to request appraisal of the files. If NARA rejects the records, the disposition for GRS 1, item 1b applies. (2) Certain agencies have been exempted by OPM from retiring their OPF's to NPRC. These agencies retain OPF's for the period specified in item 1b of this schedule and effect destruction after that period has elapsed.]

2. Service Record Cards. [See note after item 2b.]

   Service Record Card (Standard Form (SF) 7 or equivalent).

   a. Cards for employees separated or transferred on or before December 31, 1947.

Transfer to NPRC (CPR), St. Louis, MO. Destroy 60 years after earliest personnel action.

b. Cards for employees separated or transferred on or after January 1, 1948.

Destroy 3 years after separation or transfer of employee.

[**NOTE**: Effective December 31, 1994, the SF 7 card became obsolete.]

3. Personnel Correspondence Files.

Correspondence, reports, and other records relating to the general administration and operation of personnel functions, but excluding records specifically described elsewhere in this schedule and records maintained at agency staff planning levels.

Destroy when 3 years old.

4. Offers of Employment Files.

Correspondence, including letters and telegrams, offering appointments to potential employees.

a. Accepted offers.

Destroy when appointment is effective.

b. Declined offers:

(1) When name is received from certificate of eligibles.

Return to OPM with reply and application.

(2) Temporary or excepted appointment.

File with application (see item 15 of this schedule).

(3) All others.

Destroy immediately.

5. Certificate of Eligibles Files.

Copies obtained from OPM of certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Destroy when 2 years old.

6. Employee Record Cards. [See note after this item.]

   Employee record cards used for informational purposes outside personnel offices (such as SF 7B).

   Destroy on separation or transfer of employee.

[**NOTE**: Effective December 31, 1994, the SF 7 card became obsolete. Agencies may use an internal agency form.]

7. Position Classification Files.

   a. Position Classification Standards Files.

      (1) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.

      Destroy when superseded or obsolete.

      (2) Standards and guidelines issued or reviewed by OPM and used to classify and evaluate positions within the agency.

      Correspondence and other records relating to the development of standards for classification of positions peculiar to the agency, and OPM approval or disapproval.

      (a) Case file.

      Destroy 5 years after position is abolished or description is superseded.

      (b) Review File.

      Destroy when 2 years old.

   b. Position Descriptions.

      Record copy of position descriptions that include information on title, series, grade, duties and responsibilities, and related documents.

      Destroy 2 years after position is abolished or description is superseded.

   c. Survey Files.

      (1) Classification survey reports on various positions prepared by classification specialists, including periodic reports.

      Destroy when 3 years old or 2 years after regular inspection, whichever is sooner.

(2) Inspection, audit, and survey files including correspondence, reports, and other records relating to inspections, surveys, desk audits, and evaluations.

Destroy when obsolete or superseded

d. Appeals Files.

(1) Case files relating to classification appeals, excluding OPM classification certificate.

Destroy 3 years after case is closed.

(2) Certificates of classification issued by OPM.

Destroy after affected position is abolished or superseded.

8. Interview Records.

Correspondence, reports, and other records relating to interviews with employees.

Destroy 6 months after transfer or separation of employee.

9. Performance Rating Board Case Files.

Copies of case files forwarded to OPM relating to performance rating board reviews

Destroy 1 year after case is closed.

10. Temporary Individual Employee Records.

a. All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Chapter 3 of *The Guide to Personnel Recordkeeping*, EXCLUDING the Immigration and Naturalization Service Form I-9 and performance-related records.

Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with the OPF. See item 10b for disposition of I-9 Forms and item 23 of this schedule for disposition of temporary performance-related records.

b. Immigration and Naturalization Service Form I-9.

Destroy 3 years after employee separates from service or transfers to another agency.

11. Position Identification Strips. [See note after this item.]

    Strips, such as the former SF 7D, containing summary data on each position occupied.

    Destroy when superseded or obsolete.

[**NOTE**: Effective December 31, 1994, the SF 7D became obsolete.]

12. Employee Awards Files. [See note after item 12d.]

    a. General awards records, EXCLUDING those relating to department-level awards.

        (1) Case files including recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and noncash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.

            Destroy 2 years after approval or disapproval.

        (2) Correspondence pertaining to awards from other Federal agencies or non-Federal organizations.

            Destroy when 2 years old.

    b. Length of service and sick leave awards files.

        Records including correspondence, reports, computations of service and sick leave, and lists of awardees.

        Destroy when 1 year old.

    c. Letters of commendation and appreciation.

        Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the OPF.

        Destroy when 2 years old.

    d. Lists of or indexes to agency award nominations.

        Lists of nominees and winners and indexes of nominations.

        Destroy when superseded or obsolete.

[**NOTE**: Records relating to department-level awards must be scheduled by submitting an SF 115, Request for Records Disposition Authority, to NARA.]

13. Incentive Awards Program Reports.

Reports pertaining to the operation of the Incentive Awards Program.

Destroy when 3 years old.

14. Notifications of Personnel Actions.

Standard Form 50, documenting all individual personnel actions such as employment, promotions, transfers, separation, exclusive of the copy in the OPF.

a. Chronological file copies, including fact sheets, maintained in personnel offices.

Destroy when 2 years old.

b. All other copies maintained in personnel offices.

Destroy when 1 year old.

15. RESERVED

16. Personnel Operations Statistical Reports.

Statistical reports in the operating personnel office and subordinate units relating to personnel.

Destroy when 2 years old.

17. Correspondence and Forms Files.

Operating personnel office records relating to individual employees not maintained in OPFs and not provided for elsewhere in this schedule.

a. Correspondence and forms relating to pending personnel actions.

Destroy when action is completed.

b. Retention registers and related records.

(1) Registers and related records used to effect reduction-in-force actions.

Destroy when 2 years old.

(2) Registers from which no reduction-in-force actions have been taken and related records.

Destroy when superseded or obsolete.

c. All other correspondence and forms.

Destroy when 6 months old.

18. Supervisors' Personnel Files and Duplicate OPF Documentation.

a. Supervisors' Personnel Files.

Correspondence, forms, and other records relating to positions, authorizations, pending actions, position descriptions, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.

b. Duplicate Documentation.

Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Destroy when 6 months old.

19. Individual Non-Occupational Health Record Files.

Forms, correspondence, and other records, including summary records, documenting an individual employee's medical history, physical condition, and visits to Government health facilities, for nonwork-related purposes, EXCLUDING records covered by item 21 of this schedule.

Destroy 6 years after date of last entry.

20. Health Unit Control Files.

Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units.

a. If information is summarized on statistical report.

Destroy 3 months after last entry.

b. If information is not summarized.

Destroy 2 years after last entry.

21. Employee Medical Folder (EMF). [See note after item 21c.]

a. Long-term medical records as defined in 5 CFR Part 293, Subpart E.

(1) Transferred employees.

See 5 CFR Part 293, Subpart E for instructions.

(2) Separated employees.

Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later.

b. Temporary or short-term records as defined in the Federal Personnel Manual (FPM).

Destroy 1 year after separation or transfer of employee.

c. Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility.

Destroy 60 years after retirement to the NARA records storage facility.

[**NOTE**: Electronic master files and data bases created to supplement or replace the records covered by item 21 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

22. Statistical Summaries. [See not after this item.]

Copies of statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.

Destroy 2 years after date of summary or report.

[**NOTE**: Electronic master files and data bases created to supplement or replace the records covered by this item are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

23. Employee Performance File System Records. [See note after item 23b(4).]

a. Non-SES appointees (as defined in 5 U.S.C. 4301(2)).

(1) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected and all related documents.

Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice.

(2) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded.

(3) Performance-related records pertaining to a former employee.

(a) Latest rating of record 3 years old or less, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with item 23a(3)(b) of this schedule.

(b) All other performance plans and ratings.

Destroy when 4 years old.

(4) All other summary performance appraisal records, including performance appraisals and job elements and standards upon which they are based.

Destroy 4 years after date of appraisal.

(5) Supporting documents.

Destroy 4 years after date of appraisal.

b. SES appointees (as defined in 5 U.S.C. 3132a(2)).

(1) Performance records superseded through an administrative, judicial, or quasi-judicial procedure.

Destroy when superseded.

(2) Performance-related records pertaining to a former SES appointee.

(a) Latest rating of record that is less than 5 years old, performance plan upon which it is based, and any summary rating.

Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23b(2)(b) of this schedule.

(b) All other performance ratings and plans.

Destroy when 5 years old.

(3) All other performance appraisals, along with job elements and standards (job expectations) upon which they are based, EXCLUDING those for SES appointees serving on a Presidential appointment (5 CFR 214).

Destroy 5 years after date of appraisal.

(4) Supporting documents.

Destroy 5 years after date of appraisal.

[**NOTE**: Performance records pertaining to Presidential appointees are not covered by the GRS. Such records must be scheduled by submitting an SF 115 to NARA.]

24. RESERVED

25. Equal Employment Opportunity (EEO) Records.

a. Official Discrimination Complaint Case Files.

Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court.

Destroy 4 years after resolution of case.

b. Copies of Complaint Case Files.

Duplicate case files or documents pertaining to case files retained in Official Discrimination Complaint Case Files.

Destroy 1 year after resolution of case.

c. Preliminary and Background Files.

(1) Background records not filed in the Official Discrimination Complaint Case Files.

Destroy 2 years after final resolution of case.

(2) Records documenting complaints that do not develop into Official Discrimination Complaint Cases.

Destroy when 2 years old.

d. Compliance Records.

(1) Compliance Review Files.

Reviews, background documents, and correspondence relating to contractor employment practices.

Destroy when 7 years old.

(2) EEO Compliance Reports.

Destroy when 3 years old.

e. Employee Housing Requests.

Forms requesting agency assistance in housing matters, such as rental or purchase.

Destroy when 1 year old.

f. Employment Statistics Files. [See note after this item.]

Employment statistics relating to race and sex.

Destroy when 5 years old.

[**NOTE**: Electronic master files and data bases created to supplement or replace the records covered by this subitem are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

g. EEO General Files.

General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent later legislation, and agency EEO Committee meeting records, including minutes and reports.

Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

h. EEO Affirmative Action Plans (AAP).

(1) Agency copy of consolidated AAP(s).

Destroy 5 years from date of plan.

(2) Agency feeder plan to consolidated AAP(s).

Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.

(3) Report of on-site reviews of Affirmative Action Programs.

Destroy 5 years from date of report.

(4) Agency copy of annual report of Affirmative Action accomplishments.

Destroy 5 years from date of report.

26. Personnel Counseling Records.

a. Counseling Files.

Reports of interviews, analyses, and related records.

Destroy 3 years after termination of counseling.

b. Alcohol and Drug Abuse Program.

Records created in planning, coordinating, and directing an alcohol and drug abuse program.

Destroy when 3 years old.

27. Alternative Dispute Resolution (ADR) Files**.**

Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party, that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, minitrials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees.

[**NOTE**: This schedule does not apply to: 1. Administrative grievance files, 2. Adverse action files, 3. Formal and informal equal employment opportunity proceedings, 4. Traditional EEO counseling or other records included in the EEO file when a person chooses to go directly to ADR, or 5. Private party claims or EEOC's involvement with federal sector claims of non-EEOC employees against other federal agencies. These records are covered by other items in GRS 1. This schedule does not apply to ADR records that are produced as part of an agency's primary mission.]

a. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program.

Destroy when 3 years old. Longer retention is authorized if records are needed for agency business.

b. Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the

ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence.

Destroy 3 years after settlement is implemented or case is discontinued.

28. Labor Management Relations Records.

a. Labor Management Relations General and Case Files.

Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups.

(1) Office negotiating agreement.

Destroy 5 years after expiration of agreement.

(2) Other offices.

Destroy when superseded or obsolete.

b. Labor Arbitration General and Case Files.

Correspondence, forms, and background papers relating to labor arbitration cases.

Destroy 5 years after final resolution of case.

29. Training Records.

EXCLUDING records of formally established schools which train agency employees in specialized program areas, such as law enforcement and national defense. [See note after item 29b.]

a. General file of agency-sponsored training, EXCLUDING record copy of manuals, syllabuses, textbooks, and other training aids developed by the agency.

(1) Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.

Destroy when 5 years old or 5 years after completion of a specific training program.

(2) Background and working files.

Destroy when 3 years old.

b. Employee training.

Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions.

Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

[**NOTE**: Records excluded from this item must be scheduled by submission of an SF 115 to NARA.]

30. Administrative Grievance, Disciplinary, and Adverse Action Files. [See note after item 30b.]

a. Administrative Grievance Files (5 CFR 771).

Records relating to grievances raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.

Destroy no sooner than 4 years but no later than 7 years after case is closed.

b. Adverse Action Files (5 CFR 752) and Performance-Based Actions (5 CFR 432).

Case files and records related to adverse actions and performance-based actions (removal, suspension, reduction-in-grade, furlough) against employees. The file includes a copy of the proposed adverse action with

supporting documents; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand which are filed in the OPF.

Destroy no sooner than 4 years but no later than 7 years after case is closed.

[**NOTE**: OPM has determined that agencies may decide how long, within the range of 4 to 7 years, grievance and adverse action files need to be retained. To implement this authority, each agency must select one fixed retention period, between 4 and 7 years, for the entire series of its closed cases. Agencies are not authorized to use different retention periods for individual cases. The agency should publish the chosen retention period in the Privacy Act notice for these records, the agency's records disposition manual, and any other issuance dealing with the disposition of these records.]

31. Personal Injury Files.

Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Employee Medical Folder and copies submitted to the Department of Labor.

Cut off on termination of compensation or when deadline for filing a claim has passed. Destroy 3 years after cutoff.

32. Merit Promotion Case Files.

Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.

Destroy after OPM audit or 2 years after the personnel action is completed, whichever is sooner.

33. Examining and Certification Records.

Delegated agreements and related records created under the authority of 5 U.S.C. 1104 between the OPM and agencies, allowing for the examination and certification of applicants for employment.

a. Delegated agreements.

Destroy 3 years after termination of agreement.

b. Correspondence concerning applications, certification of eligibles, and all other examining and recruiting operations. Such correspondence, includes, but is not limited to, correspondence from Congress, White House, and the general public, and correspondence regarding accommodations for holding examinations and shipment of test materials.

Cut off annually. Destroy 1 year after cutoff.

c. Correspondence or notices received from eligibles indicating a change in name, address, or availability.

Destroy 90 days after updating the appropriate record in the registry or inventory.

d. Test material stock control.

Stock control records of examination test material including running inventory of test material in stock.

Destroy when test is superseded or obsolete.

e. Application Record Card (OPM Form 5000A, or equivalent).

Cut off after examination. Destroy no later than 90 days after cutoff.

f. Examination Announcement Case Documentation Files.

Correspondence regarding examination requirements, final version of announcement(s) issued, subsequent amendments to announcement(s), public notice documentation, rating schedule, job analysis documentation, record of selective and quality rating factors, rating procedures, transmutation tables, and other documents associated with the job announcement(s) and the development of the register/inventory or case examination.

Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off.

g. Register or inventory of eligibles (OPM Form 5001-C or equivalent, documenting eligibility of an individual for Federal jobs).

Destroy 2 years after the date on which the register of inventory is terminated.

h. Letters to applicants denying transfer of eligibility (OPM Form 4896 or equivalent).

Cut off annually. Destroy 1 year after cutoff.

i. Test Answer Sheets.

Written test answer sheets for both eligibles and ineligibles. Filed by date of processing.

Destroy when 6 months old.

j. Lost or Exposed Test Material Case Files.

Records showing the circumstances of loss, nature of the recovery action, and corrective action required.

Cut off files annually. Destroy 5 years after cutoff.

k. Cancelled and ineligible applications for positions filled from a register or inventory. Such documents include Optional form (OF) 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cut off annually. Destroy 1 year after cutoff.

l. Eligible applications for positions filled from a register or inventory, including OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

(1) On active register or inventory.

Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any).

(2) On inactive register or inventory.

Cut off annually. Destroy 1 year after cut off.

m. Ineligible or incomplete applications for positions filled by case examining. Such documents include OF 612, resumes, supplemental forms, whether in hard copy or electronic format.

Cutoff annually. Destroy 2 years after cutoff.

n. Eligible applications for positions filled by case examining that either are not referred to the hiring official or are returned to the examining office by the hiring official. Such documents include OF 612, resumes, supplemental forms, and attachments, whether in hard copy or electronic format.

Cutoff annually. Destroy 2 years after cutoff.

o. Request for prior approval of personnel actions taken by agencies on such matters as promotion, transfer, reinstatement, or change in status, submitted by SF 59, OPM 648, or equivalent form.

Cut off annually. Destroy 1 year after cutoff.

p. Certificate Files, including SF 39, SF 39A, or equivalent, and all papers upon which the certification was based: the list of eligibles screened for the vacancies, ratings assigned, availability statements, the certificate of eligibles that was issued to the selecting official, the annotated certificate of eligibles that was returned from the selecting official, and other documentation material designated by the examiner for retention.

Cut off annually. Destroy 2 years after cutoff.

q. Certification request control index. Certificate control log system. Records of information (e.g. receipt date, series, and grade of position, duty station, etc.) pertaining to requests for lists of eligibles from a register or inventory.

Cut off annually. Destroy 2 years after cutoff.

r. Interagency Placement Program (IPP) application and registration sheet.

Destroy upon expiration of employee's DEP eligibility.

s. DEP control cards, if maintained.

Cut off annually. Destroy 2 years after cut off.

t. Reports of audits of delegated examining operations.

Destroy 3 years after date of the report.

34. Occupational Injury and Illness Files.

Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment.

Destroy when 5 years old.

35. Denied Health Benefits Requests Under Spouse Equity. [See note after item 35b(2).]

Denied eligibility files consisting of applications, court orders, denial letters, appeal letters, and related papers.

a. Health benefits denied, not appealed.

Destroy 3 years after denial.

b. Health benefits denied, appealed to OPM for reconsideration.

(1) Appeal successful - benefits granted.

Create enrollment file in accordance with Subchapter S17 of the **FEHB Handbook**.

(2) Appeal unsuccessful - benefits denied.

Destroy 3 years after denial.

[**NOTE**: Pursuant to Subchapter S17 of the **FEHB Handbook** enrollment files of spouses eligible for benefits are transferred to OPM when former spouse cancels the enrollment, when enrollment is terminated by the employing office, or when former spouse begins receiving an annuity payment.]

36. Federal Workplace Drug Testing Program Files. [See notes after item 36e(2).]

Drug testing program records created under Executive Order 12564 and Public Law 100-71, Section 503 (101 Stat. 468), EXCLUDING consolidated statistical and narrative reports concerning the operation of agency programs, including annual reports to Congress, as required by Pub. L. 100-71, 503(f).

This authorization does not apply to oversight program records of the Department of Health and Human Services, the Office of Personnel Management, the Office of Management and Budget, the Office of National Drug Control Policy, and the Department of Justice.

a. Drug test plans and procedures, EXCLUDING documents that are filed in record sets of formal issuances (directives, procedures handbooks, operating manuals, and the like.)

Agency copies of plans and procedures, with related drafts, correspondence, memoranda, and other records pertaining to the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Destroy when 3 years old or when superseded or obsolete. [See note (2) after item 36e(2).]

b. Employee acknowledgment of notice forms.

Forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Destroy when employee separates from testing-designated position. [See note (2) after item 36e(2).]

c. Selection/scheduling records.

Records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists of selectees, notification letters, and testing schedules.

Destroy when 3 years old. [See note (2) after item 36e(2).]

d. Records relating to the collection and handling of specimens.

(1) "Record Books."

Bound books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Destroy 3 years after date of last entry. [See note (2) after item 36e(2).]

(2) Chain of custody records.

Forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Destroy when 3 years old. [See note (2) after item 36e(2).]

e. Test results.

Records documenting individual test results, including reports of testing, notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

(1) Positive results.

(a) Employees.

Destroy when employee leaves the agency or when 3 years old, whichever is later.

(b) Applicants not accepted for employment.

Destroy when 3 years old. [See note (2) after item 36e(2).]

(2) Negative results.

Destroy when 3 years old.

[**NOTES**: (1) Disciplinary action case files pertaining to actions taken against employees for drug use, drug possession, failure to comply with drug testing procedures, and similar matters are covered by GRS 1, item 30b, which authorizes destruction of records between 4 and 7 years after the case is closed. (2) Any records covered by items 36 a-e that are relevant to litigation or disciplinary actions should be disposed of no earlier than the related litigation or adverse action case file(s).]

37. Donated Leave Program Case Files.

Case files documenting the receipt and donation of leave for medical emergencies, including recipient applications, agency approvals or denials, medical or physician certifications, leave donation records or OF 630-A, supervisor/timekeeper approvals, leave transfer records, payroll notification records, and leave program termination records.

Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed.

38. Wage Survey Files.

Wage survey reports and data, background documents and correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for an authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

Destroy after completion of second succeeding wage survey.

39. Retirement Assistance Files.

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.

Destroy when 1 year old.

40. Handicapped Individuals Appointment Case Files.

Case files containing position title and description; fully executed SF 171; medical examiner's report; a brief statement explaining accommodation of impairment; and other documents related to previous appointment, certification, and/or acceptance or refusal, created in accordance with FPM chapter 306-11, subchapter 4-2.

Destroy 5 years following the date of approval or disapproval of each case.

41. Pay Comparability Records.

Records created under implementation of the Federal Employees Pay Comparability Act including written narratives and computerized transaction registers documenting use of retention, relocation and recruitment bonuses, allowances, and supervisory differentials, and case files consisting of requests for and approval of recruitment and relocation bonuses and retention allowances.

Destroy 3 years following the date of approval or upon completion of the relevant service agreement or allowance, whichever is later.

42. Alternate Worksite Records.

a. Approved requests or applications to participate in an alternate worksite program; agreements between the agency and the employee; and records relating to the safety of the worksite, the installation and use of equipment, hardware, and software, and the use of secure, classified information or data subject to the Privacy Act.

   Destroy 1 year after end of employee's participation in the program.

b. Unapproved requests.

Destroy 1 year after request is rejected

c. Forms and other records generated by the agency or the participating employee evaluating the alternate worksite program.

Destroy when 1 year old, or when no longer needed, whichever is later.

43. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 2

Payrolling and Pay Administration Records

Payrolling and pay administration records pertain to disbursements to civilian employees of the Government for personal services. This schedule applies to the pay records that are common to all agencies, but it excludes (a) retirement records (Standard Form (SF) 2806 or equivalent) that are maintained during employee duty and then transferred to the Office of Personnel Management (OPM); (b) files maintained in agency space for audit by the General Accounting Office (GAO) under 31 U.S.C. 3529(c); (c) records relating to tax withholding, savings bonds, fidelity bonds, or other records held by the appropriate units of the Treasury Department responsible for the related Government-wide programs; and (d) Office of Management and Budget files reflecting agency personnel needs and problems. The National Archives and Records Administration (NARA) must be consulted for any records created prior to January 1, 1921 before applying these disposition instructions.

Documents required by the Comptroller General to be maintained for site audit are segments of accountable officer's accounts. In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the GAO unless the agency concerned has written approval of the Comptroller General, as required by 44 U.S.C. 3309. Most Federal civilian pay accounts are prepared and maintained in accordance with Title 6 - Pay, Leave, and Allowances and incorporated in the GAO Policy and Procedures Manual for Guidance of Federal Agencies.

In the payrolling process different types of records are accumulated. Under Title 6 of the GAO Manual these records are normally site-audited on a sample basis by GAO representatives who examine primarily the earnings record card, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signatures of the certifying officer, checklists prepared in lieu of the more formal payrolls by Department of the Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms documenting changes in pay. In addition, pay registers and other accounting devices are maintained to check and balance the accounts.

All payroll systems require the maintenance of a leave record used to submit data to the payroll system. Information is posted to this record from more detailed records kept by time and attendance clerks located throughout an agency. Depending on the type of system in operation, this leave record may be a hard-copy input form or it may be a wholly electronic input.

Other records incidental to the payrolling process are employee requests for tax withholding; employee requests for Thrift Savings Plan deductions; savings bond records; and other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping

system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

PAYROLL

1. Individual Employee Pay Record.

   a. Pay record for each employee as maintained in an electronic data base. This database may be a stand-alone payroll system or part of a combined personnel/payroll system.

      Update elements and/or entire record as required.

   b. Individual Pay Record, containing pay data on each employee within an agency. This record may be in paper or microform but not in machine readable form.

      Transfer to National Personnel Records Center. Destroy when 56 years old.

2. Noncurrent Payroll Files.

   Copy of noncurrent payroll data as maintained by payroll service bureaus in either micro-form or machine-readable form.

   Destroy 15 years after close of pay year in which generated.

Items 3 through 5. Reserved.

TIME AND ATTENDANCE

6. Leave Application Files.

   SF 71 or equivalent plus any supporting documentation of requests and approvals of leave.

   a. If employee initials time card or equivalent.

      Destroy at end of following pay period.

   b. If employee has not initialed time card or equivalent.

      Destroy after GAO audit or when 3 years old, whichever is sooner.

7. Time and Attendance Source Records.

All time and attendance records upon which leave input data is based, such as time or sign-in sheets; time cards (such as Optional Form (OF) 1130); flexitime records; leave applications for jury and military duty; and authorized premium pay or overtime, maintained at duty post, upon which leave input data is based. Records may be in either machine-readable or paper form.

Destroy after GAO audit or when 6 years old, whichever is sooner.

8. Time and Attendance Input Records.

Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor.

Destroy after GAO audit or when 6 years old, whichever is sooner.

9. Leave Record.

a. Record of employee leave, such as SF 1150, prepared upon transfer or separation.

File on right side of the Official Personnel Folder (OPF). See GRS 1, item 1.

b. Creating agency copy, when maintained.

Destroy when 3 years old.

Items 10 through 12. Reserved.

DEDUCTIONS, ALLOTMENTS, AND ELECTRONIC FUNDS TRANSFERS

13. Tax Files.

a. Employee withholding allowance certificate such as Internal Revenue Service (IRS) Form W-4 and state equivalents.

Destroy 4 years after superseded or obsolete or upon separation of employee.

b. Agency copy of employee wages and tax statements, such as IRS Form W-2 and state equivalents, maintained by agency or payroll processor.

Destroy when 4 years old.

c. Agency copy of employer reports of Federal tax withheld, such as IRS Form W-3, with related papers including reports relating to income and social security tax, and state equivalents, maintained by agency or payroll processor.

Destroy when 4 years old.

14. Savings Bond Purchase Files.

    a. Authorization for Purchase and Request for Change - U.S. Savings Bonds, SB 2152, or equivalent.

       Destroy when superseded or after separation of employee.

    b. Bond registration files: issuing agent's copies of bond registration stubs.

       Destroy 4 months after date of issuance of bond.

    c. Bond receipt and transmittal files: receipts for and transmittals of U.S. Savings Bonds.

       Destroy 4 months after date of issuance of bond.

15. Combined Federal Campaign and Other Allotment Authorizations.

    a. Authorization for individual allotment to the Combined Federal Campaign.

       Destroy after GAO audit or when 3 years old, whichever is sooner.

    b. Other authorizations, such as union dues and savings.

       Destroy after GAO audit or when 3 years old, whichever is sooner.

16. Thrift Savings Plan Election Form.

    Form TSP-1 authorizing deduction of employee contribution to the Thrift Savings Plan.

    Destroy when superseded or after separation of employee.

17. Direct Deposit Sign-up Form (SF 1199A).

    Destroy when superseded or after separation.

18. Levy and Garnishment Files.

    Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.

Destroy 3 years after garnishment is terminated.

Items 19 through 21. Reserved.

PAYROLL ADMINISTRATION

22. Payroll System Reports.

a. Error reports, ticklers, system operation reports.

Destroy when related actions are completed or when no longer needed, not to exceed 2 years.

b. Reports and data used for agency workload and or personnel management purposes.

Destroy when 2 years old.

c. Reports providing fiscal information on agency payroll.

Destroy after GAO audit or when 3 years old, whichever is sooner.

23. Payroll Change Files.

Records used to direct a change or correction of an individual pay transaction whether created and maintained by paying agency or payroll processor.

a. Copies subject to GAO audit.

Destroy after GAO audit or when 3 years old, whichever is sooner.

b. All other copies.

Destroy 1 month after end of related pay period.

24. Payroll Correspondence.

Correspondence between agency and payroll processor regarding general, routine administrative issues that do not relate to individual payments.

Destroy when 2 years old.

Items 25 through 27. Reserved.

RETIREMENT

28. Retirement Files.

Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.

For CSRS/FERS related records, destroy upon receipt of official OPM acceptance of annual summary.

Items 29 through 30. Reserved.

GENERAL

31. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 3

Procurement, Supply, and Grant Records

Agency procurement and supply records document the acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from simple, small purchases to complicated prime contractor and subcontractor operations.

Any records created prior to 1895 must first be offered to the National Archives and Records Administration (NARA) for appraisal before applying the disposal instructions. Frequently copies of procurement papers become integral parts of the other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

The General Accounting Office (GAO) no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, the initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and other administrative

purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs. They also include local requisition and stock inventory files and other minor supply papers. Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released -- conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold by the Government. In many instances, lands acquired by the Government are disposed of in different size parcels, and if the Government retains the title to any portion the title evidence should be retained.

This schedule does not apply to Interior Department records relating to the public domain or to the title opinion files of the Department of Justice.

This schedule includes some of the common agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects contracted between the agency and an outside party, these records are included as an adjunct to the procurement and supply records.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Real Property Files. [See note after item 1b.]

   Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.

   a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.

Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

b. Abstract or certificate of title.

Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

[**NOTE**: Records relating to property acquired prior to January 1, 1921, are not covered by the GRS and must be scheduled by submission of a Standard Form (SF) 115 to NARA.]

2. General Correspondence Files.

Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule.

Destroy when 2 years old.

3. Routine Procurement Files. [See note after item 3d.]

Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12). [See note after item 3a(2)(b).]

a. Procurement or purchase organization copy, and related papers.

(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining Asimplified acquisition threshold≅).

(a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding $2,000.

Destroy 6 years and 3 months after final payment.

(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below $2,000.

Destroy 3 years after final payment.

(2) Transactions dated earlier than July 3, 1995.

(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding $2,000.

Destroy 6 years and 3 months after final payment.

(b) Transactions that utilize small purchase procedures and all construction contracts under $2,000.

Destroy 3 years after final payment.

[**NOTE:** Given the complexities of the rules on procurement, agencies should involve procurement officials when deciding which of the subitems to apply to a particular series of records.]

b. Obligation copy.

Destroy when funds are obligated.

c. Other copies of records described above used by component elements of a procurement office for administrative purposes.

Destroy upon termination or completion.

d. Data Submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS.

Destroy or delete when 5 years old.

[**NOTE**: Unique procurement files are not covered by this schedule. With the standardization of the Government-wide procurement process under the FAR, such files are unlikely to exist. However, if an agency believes that a procurement file that has long-term research value, the records officer should submit an SF 115.]

4. Supply Management Files.

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).

a. Copies received from other units for internal purposes or for transmission to staff agencies.

Destroy when 2 years old.

b. Copies in other reporting units and related working documents.

Destroy when 1 year old.

5. Solicited and Unsolicited Bids and Proposals Files.

a. Successful bids and proposals.

Destroy with related contract case files (see item 3 of this schedule).

b. Solicited and unsolicited unsuccessful bids and proposals.

(1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13.

Destroy 1 year after date of award or final payment, whichever is later.

(2) Relating to transactions above the small purchase limitations in 48 CFR Part 13.

(a) When filed separately from contract case files.

Destroy when related contract is completed.

(b) When filed with contract case files.

Destroy with related contract case file (see item 3 of this schedule).

c. Canceled solicitations files.

(1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were canceled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any Government action up to the time of cancellation, and evidence of the cancellation.

Destroy 5 years after date of cancellation.

2) Unopened bids.

Return to bidder.

d. Lists or card files of acceptable bidders.

Destroy when superseded or obsolete.

6. Public Printer Files.

   Records relating to requisitions on the Printer, and all supporting papers.

   a. Printing procurement unit copy of requisition, invoice, specifications, and related papers.

      Destroy 3 years after completion or cancellation of requisition.

   b. Accounting copy of requisition.

      Destroy 3 years after period covered by related account.

7. Nonpersonal Requisition File.

   Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).

   Destroy when 1 year old.

8. Inventory Requisition File.

   Requisitions for supplies and equipment for current inventory.

   a. Stockroom copy.

      Destroy 2 years after completion or cancellation of requisition.

   b. All other copies.

      Destroy when 6 months old.

9. Inventory Files.

   a. Inventory lists.

      Destroy 2 years from date of list.

   b. Inventory cards.

      Destroy 2 years after discontinuance of item, 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control.

   c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.

Destroy 2 years after date of survey action or date of posting medium.

10. Telephone Records.

    Telephone statements and toll slips.

    Destroy 3 years after period covered by related account.

11. Contractors' Payroll Files.

    Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, antikickback affidavits, and other related papers.

    Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.

12. Tax Exemption Files.

    Tax exemption certificates and related papers.

    Destroy 3 years after period covered by related account.

13. Unsuccessful Grant Application Files.

    Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.

    Destroy 3 years after rejection or withdrawal.

14. Grant Administrative Files. [See note after this item.]

    Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

    Destroy when 2 years old.

[**NOTE**: Grant case files, which include accepted applications among many other documents, substantive correspondence and subject files relating to grant programs, and final product files, cannot be scheduled in the GRS. The types and significance of grant programs and the contents of the files vary, so no single disposition can be applied to the files on a Government-wide basis. To schedule these records, agencies must submit an SF 115 to NARA.]

15. Contract Appeals Case Files.

Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.

a. Records created prior to October 1, 1979.

   Destroy 6 years, 3 months after final action on decision.

b. Records created after September 30, 1979.

   Destroy 1 year after final action on decision.

16. Contractor's Statement of Contingent or Other Fees.

    SF 119, Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.

    Destroy when superseded or obsolete.

17. Small and Disadvantaged Business Utilization Files.

    Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Pub.L. 95-507.

    Destroy when 3 years old.

18. Electronic Mail and Word Processing System Copies.

    Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items

    in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

    a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

       Destroy/delete within 180 days after the recordkeeping copy has been produced.

    b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

       Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 4

Property Disposal Records

These records pertain to the sales by agencies of real and personal property surplus to the needs of the Government. The act creating the General Services Administration (GSA) transferred to the new agency the functions of the former War Assets Administration relating to property disposition. This schedule is not applicable to transaction or policy files created by the GSA and predecessor agencies, to records in the Department of the Interior relating to the public domain, and to records relating to overseas property under Department of State control. Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Administration (NARA) for appraisal before applying these disposition instructions.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Three forms are prescribed for use by an agency selling surplus personal property under GSA regulations:

a. Standard Form (SF) 114, Sale of Government Property, Invitation, Bid, and Acceptance. Related papers that are maintained by the agencies, usually in case fashion, consist of correspondence, bids, other notices of sale, invoices, and sales slips.

b. SF 120, Report of Excess Personal Property, and SF 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Agencies use SF 120 to report excess personal property to the regional GSA offices, which initiate screening action. The quarterly reports are submitted to the Office of Property Management, Office of Federal Supply and Services, GSA, which consolidates the data.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. <u>Property Disposal Correspondence Files</u>.

   Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.

Destroy when 2 years old.

2. Excess Personal Property Reports.

Destroy when 3 years old.

3. Surplus Property Case Files.

Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.

a. Transactions of more than $25,000.

Destroy 6 years after final payment.

b. Transactions of $25,000 or less.

Destroy 3 years after final payment.

4. Real Property Files. [See note after this item.]

Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists, and duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose, the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.

Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage.

[**NOTE**: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long-term legal value. Agencies must schedule these series by submitting an SF 115 to NARA.]

5. Electronic Mail and Word Processing System Copies

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 5

Budget Preparation, Presentation, and Apportionment Records

Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by OMB, usually in quarterly portions, and the agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the agency, its own controls over the funds are in its expenditure accounting records (Schedule 7), and detailed information relative to expenditures is contained in the accountable officers' accounts (Schedule 6).

This schedule applies to certain records of budget preparation and apportionment in all agencies, but does not apply to records of OMB and the Department of Treasury reflecting the Government-wide budget responsibilities of those agencies. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying the disposition instructions.

Agency budget records are normally created at all levels of agency organization. They show proposals from all operating levels as well as the bureau-wide and agency-wide coordinating work done by formally organized budget offices. Therefore the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the bureau or equivalent level and forwarded to the agency budget officer, and the records at the highest level pertaining to the budget submission for the entire agency.

The nature of the budget presentation itself is standardized by OMB which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is usually designated by the agency, is a duplicate of the set of papers submitted to OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements which highlight the principal features of the agency requests and immediately related supporting documents. The narrative presents the policies and the programs of the agency which the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which the individual agency operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular agency programs, and figures based on the cost of various type of service operations, such as personnel and payrolling activities.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Budget Correspondence Files.

   Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, EXCLUDING files relating to agency policy and procedure maintained in formally organized budget offices.

   Destroy when 2 years old.

2. Budget Background Records.

   Cost statements, rough data and similar materials accumulated in the preparation of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget offices.

   Destroy 1 year after the close of the fiscal year covered by the budget.

3. Budget Reports Files.

   Periodic reports on the status of appropriation accounts and apportionment.

   a. Annual report (end of fiscal year).

      Destroy when 5 years old.

   b. All other reports.

      Destroy 3 years after the end of the fiscal year.

4. Budget Apportionment Files. [See note after this item.]

   Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

   Destroy 2 years after the close of the fiscal year.

[**NOTE**: The following budget files are not covered by the GRS:

--Budget office correspondence or subject files documenting budget policy and procedures and reflecting policy decisions affecting expenditures for agency programs.
--Budget estimates and justifications of formally organized budget offices at the bureau (or equivalent) or higher organizational level. Depending on agency recordkeeping practices and patterns of documentation, these records may have archival value and must be scheduled by submitting a Standard Form (SF) 115 to NARA.]

5. Electronic Mail and Word Processing System Copies.

   Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

   a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

      Destroy/delete within 180 days after the recordkeeping copy has been produced.

   b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

      Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 6

Accountable Officers' Accounts Records

This general schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accounting Office (GAO). This schedule does not apply to the copies of schedules and related papers held by the Chief Disbursing Officer of the Treasury. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

Accountable officers' accounts include record copies of all records concerned with the accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper account; (b) the disbursing officer who is responsible for providing documentation to GAO, since he/she accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Department of Treasury. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules, with the detailed vouchers transferred to GAO from the agency or held in agency space if a site audit was involved. This procedure was extended and confirmed by GAO General Regulation No. 115, issued January 29, 1952, which promulgated a standard form voucher and schedule of payments (Standard Form (SF) 1166 and SF 1167) for use by all agencies, effective July 1, 1952, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer of the Treasury.

This schedule includes records held for onsite audit by GAO, as described in item 1a below. Under onsite audit, vouchers, contracts, schedules, statements of transactions and accountability, and other related supporting documents are retained in agency space for GAO auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that an audit shall be conducted at the site) require agencies to retain these records, which are under GAO cognizance. GAO has given general authority to the agencies, if the records are no longer required for administrative purposes, to transfer all audited records and any unaudited records more than 1 full fiscal year old to Federal records centers. However, to transfer unaudited accountable officers' accounts less than one year old, permission must be obtained from the Director, Records Management, GAO. Because the records previously transferred to GAO are retained in the agency, some agencies have eliminated the creation of memorandum copies as described in item 1b of this schedule.

Records relating to the availability, collection, and custody of funds include (1) the appropriation warrants, (2) other documents that deposit funds into the Treasury, and (3) documents that provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. Agency copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule. The copies received by the Fiscal Service of the Department of Treasury are not covered by this schedule and are provided for in separate schedules.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Accountable Officers' Files. [See note after item 1b.]

   a. Original or ribbon copy of accountable officers' accounts maintained in the agency for site audit by GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers or documents used as schedules or vouchers, exclusive of commercial passenger transportation and freight records and payroll records, EXCLUDING accounts and supporting documents pertaining to American Indians. If an agency is operating under an integrated accounting system approved by GAO, certain required documents supporting vouchers and/or schedules are included in the site audit records. These records document only the basic financial transaction, money received and money paid out or deposited in the course of operating the agency. All copies except the certified payment or collection copy, usually the original or ribbon copy, and all additional or supporting documentation not involved in an integrated system are covered by succeeding items in this schedule.

      Site audit records include, but are not limited to, the Standard and Optional Forms listed below. Also included are equivalent agency forms that document the basic financial transaction as described above.

      SF 215 Deposit Ticket
      SF 224 Statement of Transactions
      SF 1012 Travel Voucher
      SF 1034 Public Voucher for Purchases and Services Other Than Personal
      SF 1036 Statement of Certificate and Award
      SF 1038 Advance of Funds Application and Account
      SF 1047 Public Voucher for Refunds

      SF 1069 Voucher for Allowance at Foreign Posts of Duty
      SF 1080 Voucher for Transfer Between Appropriations and/or Funds

SF 1081 Voucher and Schedule of Withdrawals and Credits
SF 1096 Schedule of Voucher Deductions
SF 1097 Voucher and Schedule to Effect Correction of Errors
SF 1098 Schedule of Canceled Checks
SF 1113 Public Voucher for Transportation Charges
SF 1129 Reimbursement Voucher
SF 1143 Advertising Order
SF 1145 Voucher for Payment Under Federal Tort Claims Act
SF 1154 Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee
SF 1156 Public Voucher for Fees and Mileage
SF 1164 Claim for Reimbursement for Expenditures on Official Business
SF 1166 Voucher and Schedule of Payments
SF 1185 Schedule of Undeliverable Checks for Credit to Government Agencies
SF 1218 Statement of Accountability (Foreign Service Account)
SF 1219 Statement of Accountability
SF 1220 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts
SF 1221 Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)
OF 1114 Bill of Collection
OF 1114A Official Receipt
OF 1114B Collection Voucher

Destroy 6 years and 3 months after period covered by account.

b. Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere in this schedule, EXCLUDING freight records covered by Schedule 9 and payroll records covered by Schedule 2.

Destroy when 1 year old.

[**NOTE**: Accounts and supporting documents pertaining to American Indians are not authorized for disposal. Such records must be retained indefinitely since they may be needed in litigation involving the Government's role as trustee of property held by the Government and managed for the benefit of Indians.]

2. GAO Exceptions Files.

GAO notices of exceptions, such as SF 1100, formal or informal, and related correspondence.

Destroy 1 year after exception has been reported as cleared by GAO.

3. Certificates Settlement Files.

Copies of certificates and settlement of accounts of accountable officers, statements of differences, and related records.

a. Certificates covering closed account settlements, supplemental settlements, and final balance settlements

Destroy 2 years after date of settlement.

b. Certificates covering period settlements.

Destroy when subsequent certificate of settlement is received.

4. General Fund Files.

Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit, other than those records covered by Item 1 of this schedule.

Destroy when 3 years old.

5. Accounting Administrative Files.

Correspondence, reports, and data relating to voucher preparation, administrative audit, and other accounting and disbursing operations.

a. Files used for workload and personnel management purposes.

Destroy when 2 years old.

b. All other files.

Destroy when 3 years old.

6. Federal Personnel Surety Bond Files.

a. Official copies of bond and attached powers of attorney.

(1) Bonds purchased before January 1, 1956.

Destroy 15 years after bond becomes inactive.

(2) Bonds purchased after December 31, 1955.

Destroy 15 years after end of bond premium period.

b. Other bond files including other copies of bonds and related documents.

Destroy when bond becomes inactive or after the end of the bond premium period.

7. Gasoline Sales Tickets.

Hard copies of sales tickets filed in support of paid vouchers for credit card purchases of gasoline.

Destroy after GAO audit or when 3 years old, whichever is sooner.

8. Telephone Toll Tickets.

Originals and copies of toll tickets filed in support of telephone toll call payments.

Destroy after GAO audit or when 3 years old, whichever is sooner.

9. Telegrams.

Originals and copies of telegrams filed in support of telegraph bills.

Destroy after GAO audit or when 3 years old, whichever is sooner.

10. Administrative Claims Files.

a. Claims against the United States. Records relating to claims against the United States for moneys that have been administratively (1) disallowed in full or (2) allowed in full or in part, and final payment of the amount awarded, EXCLUDING claims covered by subitem c. below.

Destroy when 6 years, 3 months old.

b. Claims by the United States subject to the Federal Claims Collection Standards and 28 U.S.C. 2415 or 31 U.S.C. 3716(c)(1).

Records relating to claims for money or property that were administratively determined to be due and owing to the United States and that are subject to the Federal Claims Collection Standards (4 CFR Chapter II), EXCLUDING claims covered under subitem c. below.

(1) Claims that were paid in full or by means of a compromise agreement pursuant to 4 CFR Part 103.

Destroy when 6 years, 3 months old.

(2) Claims for which collection action has been terminated under 4 CFR Part 104.

(a) Claims for which the Government's right to collect was not extended.

Destroy 10 years, 3 months after the year in which the Government's right to collect first accrued.

(b) Claims for which the Government is entitled (per 28 U.S.C. 2415) to additional time to initiate legal action.

Destroy 3 months after the end of the extended period.

(3) Claims that the agency administratively determines are not owed to the United States after collection action was initiated.

Destroy when 6 years, 3 months old.

c. Claims files that are affected by a court order or that are subject to litigation proceedings.

Destroy when the court order is lifted, litigation is concluded, or when 6 years, 3 months old, whichever is later.

11. Waiver of Claims Files.

Records relating to waiver of claims of the United States against a person arising out of an erroneous payment of pay allowances, travel expenses, or relocation expenses to an

employee of an agency or a member or former member of the uniformed services or the National Guard, including bills of collection, requests for waiver of claim, investigative reports, decisions by agency and/or GAO approving or denying the waiver, and related records.

a. Approved waivers (agencies may approve amounts not aggregating to more than $500 or GAO may approve any amount).

Destroy 6 years, 3 months after the close of the fiscal year in which the waiver was approved.

b. Denied waivers.

Destroy with related claims files in accordance with items 10b and 10c of this schedule.

12. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 7

Expenditure Accounting Records

Expenditure accounting records are the ledgers and related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and nonappropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the agency accounting system. These ledgers summarize the financial status and financial transactions of the agency, showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in agency custody. They are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, expenditures, and program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and documents further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against overexpenditure by operating officials. The allotment ledgers are general controls over expenditures, and they, in turn, summarize and are supported by more detailed controls that normally take the form of project or job orders that authorize exact and specific expenditures.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

a. Copies of various obligation or expenditure documents, such as vouchers and schedules, that flow through the ledger unit for posting.

b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant, and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source of the data included in the basic apportionment reports to the OMB and the Department of Treasury, and overall reports of agency fiscal condition which may be required by the General Accounting Office (GAO) (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by GAO auditors to be indicative of the agency's entire accounting system and the reliability of its financial data.

This schedule does not apply to such records maintained on a Government-wide basis by the Department of Treasury and the OMB, or to those formerly maintained by the GAO. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules that would have authorized destruction of the records prior to the time when the claim is finally resolved, unless the agency has received written approval from the GAO (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Expenditures Accounting General Correspondence and Subject Files.

   Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.

   Destroy when 2 years old.

2. General Accounting Ledgers.

   General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.

   Destroy 6 years and 3 months after the close of the fiscal year involved.

3. Appropriation Allotment Files.

   Allotment records showing status of obligations and allotments under each authorized appropriation.Destroy 6 years and 3 months after the close of the fiscal year involved.

4. Expenditure Accounting Posting and Control Files.

   Records used as posting and control media, subsidiary to the general and allotment ledgers, and not covered elsewhere in this schedule.

a. Original records.

Destroy when 3 years old.

b. Copies.

Destroy when 2 years old.

5. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 8

Stores, Plant, and Cost Accounting Records

Specialized stores, plant, and cost accounting records are maintained by most agencies, particularly those with extensive plant and stock inventories. These records, which reflect the net monetary worth of an agency and its assets, are periodically reconciled with the supply data found in stock inventory records, but they do not include procurement papers. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

a. Stores Accounting. These records are maintained to provide personal accountability for the receipt and custody of materials and to document the monetary worth of such materials. Completed copies of material movement documents show custody, and stores accounting data are normally reviewed and consolidated by means of records and returns submitted to agency headquarters. There the information is used for procurement planning, budget, and other management purposes. These records do not include records reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value are also available in pertinent ledger accounts.

b. Plant Accounting. These records document principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value are also maintained.

c. Cost Accounting. These records are designed to show accumulated data on the costs of agency operation, the direct and indirect costs of production, administration, and performance of program functions of the agency. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately integrated into the accounts concerned with operating and program costs. Material cost information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are used in evaluating economy of agency operation and in preparing budget estimates.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Plant, Cost, and Stores General Correspondence Files.

   Correspondence files of units responsible for plant, cost, and stores accounting operations.

   Destroy when 3 years old.

2. Stores Invoice Files.

   Invoices or equivalent papers used for stores accounting purposes.

   Destroy when 3 years old.

3. Stores Accounting Files.

   Stores accounting returns and reports.

   Destroy when 3 years old.

4. Stores Accounting Background Files.

   Working files used in accumulating stores accounting data.

   Destroy when 2 years old.

5. Plant Accounting Files. [See note after this item.]

   Plant account cards and ledgers, other than those pertaining to structures.

   Destroy 3 years after item is withdrawn from plant account.

[**NOTE**: Plant accounting cards and ledgers pertaining to structures are not disposable under the GRS. Agencies must submit a Standard Form (SF) 115 to NARA to schedule these records.]

6. Cost Accounting Reports.

   a. Copies in units receiving reports.

      Destroy when 3 years old.

   b. Copies in reporting units and related work papers.

      Destroy when 3 years old.

7. Cost Report Data Files.

Ledgers, forms, and electronic records used to accumulate data for use in cost reports.

a. Ledgers and forms.

Destroy when 3 years old.

b. Automated records.

(1) Detail cards.

Destroy when 6 months old.

(2) Summary cards.

Destroy when 6 months old.

(3) Tabulations.

Destroy when 1 year old.

8. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 9

Travel and Transportation Records

This schedule covers records documenting the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation, including that prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Record copies of all travel, transportation, and freight documents used to support payments become components of the accountable officers' accounts. Disposition for commercial transportation and freight site audit records is covered by item 1 of this schedule. Individual, noncommercial, reimbursable travel site audit records are covered by General Records Schedule 6, item 1a, item 10, or item 11. Some copies become accounting posting media, which are covered by General Records Schedule 7, item 4.

a. Movement of goods. The key record is the bill of lading, of which there are copies for consignors, consignees, and the carriers themselves. The documents related to and normally filed with the bill of lading are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other data that document the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. Agencies shipping certain valuables under the Government Losses in Shipment Act, which insures against loss, retain copies of schedules of material shipped, documents relating to claims which may ensue, and other pertinent records.

b. Movement of persons. The movement of persons is documented by copies of travel orders, authorizing travel and subsequent payment, and standard-form vouchers showing payment for official travel. The two primary copies of travel orders are the administrative copy maintained by the transportation unit controlling the authorization of travel and the copy used for encumbrance of funds. Vouchers documenting cash advances for travel purposes are covered by General Records Schedule 6, item 1a, only after the advance has been properly liquidated and can be included in a settled fiscal account. Unliquidated cash advances for travel purposes are covered by General Records Schedule 6, item 10.

1. <u>Commercial Freight and Passenger Transportation Files.</u>
a. Original vouchers and support documents covering commercial freight and passenger transportation charges of settled fiscal accounts, including registers and other control documents, but EXCLUDING those covered by item 1b of this schedule.

Destroy 6 years after the period of the account.

b. Records covering payment for commercial freight and passenger transportation charges for services for which 1) notice of overcharge has been or is expected to be issued, or if a rail freight overpayment is involved, 2) deduction or collection action has been taken, 3) the voucher contains inbound transit shipment(s), 4) parent voucher has print of paid supplemental bill associated, 5) the voucher has become involved in litigation, or 6) any other condition arises, such as detection of overcharge, that prevents the settling of the account, requiring the voucher to be retained beyond the 6 year retention period.

Destroy when 10 years old.

c. Issuing office copies of Government or commercial bills of lading, commercial passenger transportation vouchers (Standard Form (SF) 1113A) and transportation requests (SF 1169), travel authorizations, and supporting documents.

Destroy 6 years after the period of the account.

d. Obligation copy of commercial passenger transportation vouchers.

Destroy when funds are obligated.

e. Unused ticket redemption forms, such as SF 1170.

Destroy 3 years after the year in which the transaction is completed.

2. Lost or Damaged Shipments Files.

Schedules of valuables shipped, correspondence, reports, and other records relating to the administration of the Government Losses in Shipment Act.

Destroy when 6 years old.

3. Noncommercial, Reimbursable Travel Files.

Copies of records relating to reimbursing individuals, such as travel orders, per diem vouchers, and all other supporting documents relating to official travel by officers, employees, dependents, or others authorized by law to travel.

a. Travel administrative office files.

Destroy when 6 years old.

Obligation copies.

Destroy when funds are obligated.

4. General Travel and Transportation Files.

a. Routine administrative records including correspondence, forms, and related records pertaining to commercial and noncommercial agency travel and transportation and freight functions not covered elsewhere in this schedule.

Destroy when 2 years old.

b. Accountability records documenting the issue or receipt of accountable documents.

Destroy 1 year after all entries are cleared.

5. Records Relating to Official Passports. [See notes after item 5c.]

a. Application files.

Documents relating to the issuance of official passports, including requests for passports, transmittal letters, receipts, and copies of travel authorizations.

Destroy when 3 years old or upon separation of the bearer, whichever is sooner.

b. Annual reports concerning official passports.

Reports to the Department of State concerning the number of official passports issued and related matters.

Destroy when 1 year old.

c. Passport registers.

Registers and lists of agency personnel who have official passports.

Destroy when superseded or obsolete.

[NOTES: (1) Official passports should be returned to the Department of State upon expiration or upon the separation of the employee. (2) Item 5b does not pertain to copies of the annual reports held by the Department of State.]

6. RESERVED

7. Federal Employee Transportation Subsidy Records.

Documents in either paper or electronic form relating to the disbursement of transportation subsidies to employees, including applications of employees no longer in the program,

superseded applications, certification logs, vouchers, spreadsheets, and other forms used to document the disbursement of subsidies.

Destroy when 3 years old.

8. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 10

Motor Vehicle Maintenance and Operation Records

These records pertain to the management, maintenance, and operation of motor vehicles used by agencies. 41 CFR 101-38 prescribes policies and procedures. Standard Form (SF) 82, which is an annual motor vehicle report required by the Federal Supply Service, General Services Administration, is the only standardized record. Certain cost and inventory control forms have been developed, but they are not mandatory. This schedule covers agency records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Office of Federal Supply and Services (SF 82, Agency Report of Motor Vehicle Data); (b) the maintenance of the vehicles themselves; and (c) protecting the interest of the Government in accident claims against it. The records themselves consist of chauffeur service logs and reports, vehicle repair and maintenance checkoff sheets, cost ledgers, and claims correspondence and forms.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Motor Vehicle Correspondence Files.

   Correspondence in the operating unit responsible for maintenance and operation of motor vehicles not otherwise covered in this schedule.

   Destroy when 2 years old.

2. Motor Vehicle Operating and Maintenance Files.

   a. Operating records including those relating to gas and oil consumption, dispatching, and scheduling.

      Destroy when 3 months old.

   b. Maintenance records, including those relating to service and repair.

      Destroy when 1 year old.

3. Motor Vehicle Cost Files.

   Motor vehicle ledger and worksheets providing cost and expense data.

   Destroy 3 years after discontinuance of ledger or date of worksheet.

4. Motor Vehicle Report Files.

   Reports on motor vehicles (other than accident, operating, and maintenance reports), including SF 82, Agency Report of Motor Vehicle Data.

   Destroy 3 years after date of report.

5. Motor Vehicle Accident Files.

   Records relating to motor vehicle accidents, maintained by transportation offices, including SF 91, Motor Vehicle Accident Report, investigative reports, and SF 94, Statement of Witness.

   Destroy 6 years after case is closed.

6. Motor Vehicle Release Files.

   Records relating to transfer, sale, donation, or exchange of vehicles, including SF 97, The United States Government Certificate to Obtain Title to a Motor Vehicle.

   Destroy 4 years after vehicle leaves agency custody.

7. Motor Vehicle Operator Files.

   Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.

   Destroy 3 years after separation of employee or 3 years after recision of authorization to operate Government-owned vehicle, whichever is sooner.

8. Electronic Mail and Word Processing System Copies.

   Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 11

Space and Maintenance Records

This schedule provides for the disposal of all copies, wherever located in an agency, of records relating to space and maintenance, except as indicated below. Records documenting these functions pertain to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to the General Services Administration (GSA) (or equivalent agency with similar Government-wide responsibilities) as directed by law and regulation (41 CFR 101-17); correspondence and forms relating to the compilation of directory service listings; identification credentials and related accountable records; requests for building and equipment services; and correspondence files reflecting the activities of the unit responsible for handling space and related matters within the agency.

This schedule does not cover (a) copies of these records that are an integral part of accountable officers' accounts (Schedule 6); (b) records of procurement and supply (Schedule 3); (c) records that reflect Government-wide programs (such as the records held by the GSA Public Buildings Service). Any records created prior to the establishment of the Public Buildings Administration in 1939 must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Space and Maintenance General Correspondence Files.

   Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers.

   Destroy when 2 years old.

2. Agency Space Files.

   Records relating to the allocation, utilization, and release of space under agency control, and related reports to GSA.

   a. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment.

Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete.

b. Correspondence with and reports to staff agencies relating to agency space holdings and requirements.

(1) Agency reports to the GSA, including Standard Form (SF) 81, Request for Space, and related documents.

Destroy when 2 years old.

(2) Copies in subordinate reporting units and related work papers.

Destroy when 1 year old.

3. Directory Service Files.

Correspondence, forms, and other records relating to the compilation of directory service listings.

Destroy 2 months after issuance of listing.

4. Credentials Files.

Identification credentials and related papers.

a. Identification credentials including cards, badges, parking permits, photographs, agency permits to operate motor vehicles, and property, dining room and visitors passes, and other identification credentials.

Destroy credentials 3 months after return to issuing office.

b. Receipts, indexes, listings, and accountable records.

Destroy after all listed credentials are accounted for.

5. Building and Equipment Service Files.

Requests for building and equipment maintenance services, excluding fiscal copies.

Destroy 3 months after work is performed or requisition is canceled.

6. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 12

Communications Records

The principal records documenting communication functions include messenger service data; telecommunications service control and operational records; long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; agency copies of penalty mail reports; and records relating to private delivery service (such as United Parcel Service).

This schedule covers the records described below, wherever located in an agency but does not cover records that reflect Government-wide programs, such as records held by the U.S. Postal Service and the Information Technology Service of the General Services Administration (GSA), other than those documenting their own internal administrative management functions. In addition, item 4, telephone use records, has been reserved pending development of disposition standards acceptable to both the GSA and the General Accounting Office. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration before applying the disposition instructions in this schedule.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Messenger Service Files.

   Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

   Destroy when 2 months old.

2. Communication General Files.

   a. Correspondence and related records pertaining to internal administration and operation.

      Destroy when 2 years old.

   b. Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.

      Destroy when 3 years old.

c. Telecommunications statistical reports including cost and volume data.

Destroy when 1 year old.

d. Telecommunications voucher files.

(1) Reference copies of vouchers, bills, invoices, and related records.

Destroy when 1 fiscal year old.

(2) Records relating to installation, change, removal, and servicing of equipment.

Destroy 1 year after audit or when 3 years old, whichever is sooner.

e. Copies of agreements with background data and other records relating to agreements for telecommunications services.

Destroy 2 years after expiration or cancellation of agreement.

3. Telecommunications Operational Files. [See note after item 3b.]

a. Message registers, logs, performance reports, daily load reports, and related and similar records.

Destroy when 6 months old.

b. Copies of incoming and original copies of outgoing messages, including Standard Form (SF) 14, Telegraphic Message maintained by communications offices or centers, and EXCLUDING the copies maintained by the originating program office.

Destroy when 2 years old.

[**NOTE**: Master files and data bases created to supplement or replace the records covered by item 3 are not authorized for disposal under the GRS. Such files must be scheduled on an SF 115.]

4. Telephone Use (Call Detail) Records.

Initial reports of use of telephone lines (e.g., telephone calls, facsimile transmissions and electronic mail) during a specified period provided by a telephone company, the General Services Administration, the Defense Information Systems Agency, or a private sector exchange on an agency's premises, as well as records generated from initial reports from administrative, technical, or investigative follow-up. Included is such information as the originating number, destination number, destination city and state, date and time of use,

duration of the use, and the estimated or actual cost of the use. EXCLUDED are records accumulated in connection with substantive investigations and audits that are covered by GRS 22, Inspector General Records or GRS 6, Accountable Officers' Accounts Records.

Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records.

5. Post Office and Private Mail Company Records.

Post Office and private mail company forms and supporting papers, exclusive of records held by the United States Postal Service.

a. Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, overnight, express, and special delivery mail including receipts and return receipts.

Destroy when 1 year old.

b. Application for registration and certification of declared value mail.

Destroy when 1 year old.

c. Report of loss, rifling, delayed or late delivery, wrong delivery, or other improper treatment of mail.

Destroy when 1 year old.

6. Mail and Delivery Service Control Files.

a. Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, EXCLUDING both those covered by item 5 and those used as indexes to correspondence files.

Destroy when 1 year old.

b. Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post or packages over 4 pounds).

Destroy when 6 months old.

c. Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).

Destroy when 6 months old.

d. Statistical reports and data relating to handling of mail and volume of work performed.

Destroy when 1 year old.

e. Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the agency by mail.

Destroy when 1 year old.

f. Records of and receipts for mail and packages received through the Official Mail and Messenger Service.

Destroy when 6 months old.

g. General files including correspondence, memoranda, directives, and guides relating to the administration of mail room operations.

Destroy when 1 year old or when superseded or obsolete, whichever is applicable.

h. Locator cards, directories, indexes, and other records relating to mail delivery to individuals.

Destroy 5 months after separation or transfer of individual or when obsolete, whichever is applicable.

7. Metered Mail Files.

Official metered mail reports and all related papers.

Destroy when 6 years old.

8. Postal Irregularities File.

Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.

Destroy 3 years after completion of investigation.

9. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 13

Printing, Binding, Duplication, and Distribution Records

This schedule provides for the disposal of all copies, wherever located in the agency, of records relating to printing, binding, duplication, and distribution, except as indicated. The principal records documenting these functions are (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions and to record the production, distribution, and cost analysis within the operating units); and (b) correspondence and report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters within the agency. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

This schedule does not cover (a) the record copy of printed materials; (b) records retained by agencies for onsite audit by the General Accounting Office, and agency memorandum copies which are part of the accountable officers' accounts (Schedule 6); and (c) records that reflect agency programs (such as those of the Government Printing Office and the Bureau of Engraving and Printing), rather than administrative management functions.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Administrative Correspondence Files.

   Correspondence files pertaining to the administration and operation of the unit responsible for printing, binding, duplication, and distribution matters, and related documents.

   Destroy when 2 years old.

2. Project Files. [See note after item 2b.]

   Job or project records containing information relating to planning and execution of printing, binding, duplication, and distribution jobs.

   a. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related documents exclusive of (1) requisitions on the Public Printer and related records; and (2) records relating to services obtained outside the agency.

Destroy 1 year after completion of job.

b. Files pertaining to planning and other technical matters.

Destroy when 3 years old.

[**NOTE**: The GRS does not cover the publications themselves. One copy of each publication should be designated the record copy and scheduled for transfer to NARA. Agencies should describe each series of publications on an Standard Form (SF) 115 submitted to NARA. Extra copies are nonrecord and may be destroyed when no longer needed.]

3. Control Files.

Control registers pertaining to requisitions and work orders.

Destroy 1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.

4. Mailing Lists.

a. Correspondence, request forms, and other records relating to changes in mailing lists.

Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner.

b. Card lists.

Destroy individual cards when canceled or revised.

5. Joint Committee on Printing (JCP) Reports Files.

Reports to Congress and related records.

a. Agency report to JCP regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.

Destroy when 3 years old.

b. Copies in subordinate reporting units and related work papers.

Destroy 1 year after date of report.

6. Internal Management Files.

Records relating to internal management and operation of the unit.

Destroy when 2 years old.

7. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 14

Information Services Records

This schedule covers certain records pertaining to informational services performed by Government agencies in their day-to-day affairs and in their relations with the public, including records created in administering Freedom of Information Act and Privacy Act (FOIA) programs. Except as otherwise specified in individual items, it applies to copies of these records wherever located in an agency. Item 4 applies only to files maintained in the office responsible for the operation of the information activities of the agency or subdivision thereof. Items 11 through 15 describe the files accumulated in carrying out the provisions of the FOIA, and items 21 through 26 describe the files created in administering the provisions of the Privacy Act. Items 31 through 35 cover records created in response to requests for mandatory records declassification.

These records consist of inquiries, replies, and related correspondence; in the case of FOIA, Privacy Act, and mandatory declassification files, appeals and other records; administrative background files for formal information releases, and records relating to inappropriate release of privileged information. Closely related records such as records relating to budget presentation, and printing, duplicating, and distribution are covered by other General Records Schedules. Records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying this schedule.

Other information services records such as speeches and press releases may have permanent value. As potentially archival records, these series must be scheduled individually so NARA may appraise them. To schedule these and other information services records not included in this schedule, agencies submit a Standard Form (SF) 115, Request for Records Disposition Authority, to NARA.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Information Requests Files.

   Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research and requests for and transmittals of publications, photographs, and other information literature.

   Destroy when 3 months old.

2. Acknowledgment Files.

   Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.

   Destroy 3 months after acknowledgment and referral.

3. Press Service Files.

   Press service teletype news and similar materials.

   Destroy when 3 months old.

4. Information Project Files.

   Information service project case files maintained in formally designated information offices.

   Destroy 1 year after close of file or 1 year after completion of project.

5. Commendation/Complaint Correspondence Files.

   Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, EXCLUDING those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.

   Destroy when 3 months old.

6. Indexes and Check Lists.

   Bibliographies, checklists, and indexes of agency publications and releases, EXCLUDING those relating to record sets scheduled as permanent.

   Destroy when superseded or obsolete.

Items 7 through 10. Reserved.

11. FOIA Requests Files.

    Files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the official file copy of requested record or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 12.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 6 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 12.

b. Official file copy of requested records.

Dispose of in accordance with approved agency disposition instructions for the related records or with the related FOIA request, whichever is later.

12. FOIA Appeals Files.

Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the file copy of the records under appeal if filed herein).

Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later.

b. Official file copy of records under appeal.

Dispose of in accordance with approved agency disposition instructions for the related record or with the related FOIA request, whichever is later.

13. FOIA Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

a. Registers or listing.

Destroy 6 years after date of last entry.

b. Other files.

Destroy 6 years after final action by the agency or after final adjudication by courts, whichever is later.

14. FOIA Reports Files. [See note after this item.]

Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, EXCLUDING annual reports to the Congress at the departmental or agency level.

Destroy when 2 years old.

[**NOTE**: The GRS does not cover departmental or agency level annual reports to the Congress. These reports should be scheduled for transfer to the National Archives of the United States by submitting an SF 115 to NARA.]

15. FOIA Administrative Files.

Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old.

16 through 20. Reserved.

21. Privacy Act Requests Files.

Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Requests not appealed.

Destroy 2 years after date of reply.

(b) Requests appealed.

Destroy as authorized under Item 22.

(3) Denying access to all or part of the records requested.

(a) Requests not appealed.

Destroy 5 years after date of reply.

(b) Requests appealed.

Destroy as authorized under Item 22.

b. Official file copy of requested records.

Dispose of in accordance with approved agency disposition instructions for the related records or with the related Privacy Act request, whichever is later.

22. Privacy Act Amendment Case Files.

Files relating to an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an

agency's refusal of the individual's request to amend a record as provided for under 5 U.S.C. 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g).

a. Requests to amend agreed to by agency. Includes individual's requests to amend and/or review refusal to amend, copies of agency's replies thereto, and related materials.

   Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later.

b. Requests to amend refused by agency. Includes individual's requests to amend and to review refusal to amend, copies of agency's replies thereto, statement of disagreement, agency justification for refusal to amend a record, and related materials.

   Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later.

c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for refusal by any agency to amend a record.

   Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later.

23. Privacy Act Accounting of Disclosure Files.

Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Dispose of in accordance with the approved disposition instructions for the related subject individual's records or 5 years after the disclosure for which the accountability was made, whichever is later.

24. Privacy Act Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

a. Registers or listings.

   Destroy 5 years after date of last entry.

b. Other files.

Destroy 5 years after final action by the agency or final adjudication by courts, whichever is later.

25. Privacy Act Reports Files. [See note after this item.]

Recurring reports and one-time information requirement relating to agency implementation, including biennial reports to the Office of Management and Budget (OMB), and the Report on New Systems at all levels.

Destroy when 2 years old.

[**NOTE**: The GRS does not cover the biennial report to Congress from OMB.]

26. Privacy Act General Administrative Files.

Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Destroy when 2 years old.

27 through 30. Reserved.

31. Mandatory Review For Declassification Requests Files.

Files created in response to requests for information under the mandatory review provisions of Executive Order 12356 consisting of the original request, a copy of the reply thereto, and all related supporting files, which may include the official file copy of requested records or a copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records if filed herein, and sanitizing instructions, if applicable).

(1) Granting access to all the requested records.

Destroy 2 years after date of reply.

(2) Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

Destroy 2 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32.

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Destroy 5 years after date of reply.

(b) Request appealed.

Destroy as authorized under Item 32.

b. Official file copy of requested records.

Dispose of in accordance with approved disposition instructions for the related records or with the related mandatory review request, whichever is later.

c. Sanitizing instructions.

Destroy when superseded or when requested documents are declassified or destroyed.

32. Mandatory Review for Declassification Appeals Files.

Files created in responding to administrative appeals under the mandatory review provisions of Executive Order 12356 and its predecessors for release of information denied by the agency. Files consist of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein).

Destroy 4 years after final determination by agency.

b. Official file copy of records under appeal.

Dispose of in accordance with approved agency disposition instructions for the related records, or with the related mandatory review request, whichever is later.

33. Mandatory Review for Declassification Control Files.

Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of request and name and address of requester.

a. Registers or listing.

Destroy 5 years after date.

b. Other files.

Destroy 5 years after final action by the agency.

34. Mandatory Review for Declassification Reports Files.

Reports relating to agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including annual reports submitted to the Information Security Oversight Office.

Destroy when 2 years old.

35. Mandatory Review for Declassification Administrative Files.

Records relating to the general agency implementation of the mandatory review provisions of the current Executive order on classified national security information, including notices, memoranda, correspondence, and related records.

Destroy when 2 years old.

36. Erroneous Release Files.

Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.

a. Files that include the official file copy of the released records.

Follow the disposition instructions approved for the released official file copy or destroy 6 years after the erroneous release, whichever is later.

b. Files that do not include the official file copy of the released records.

Destroy 6 years after the erroneous release.

37. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 15

Housing Records

The housing records covered by this schedule include files and data accumulated in the maintenance and management of Federally owned and operated housing facilities within the continental United States for civilian employees of the Federal Government, military personnel, and others eligible by law to reside in the projects. These facilities may consist of low cost quarters located either within or adjacent to the confines of Federal installations or in a critical defense or other area. This schedule includes housing records maintained by housing managers and housing or quarters offices, but does not cover the headquarters or staff office files of the supervising agency, or the files of the Department of Housing and Urban Development, the Department of Health and Human Services, or the Department of Veterans Affairs pertaining to program operations in planning and financing housing facilities.

Maintenance records reflect repair and general upkeep of the housing project or units. Management involves the assignment and rental of units, rent collection and other fiscal operations, and overall supervision. However, rental charges for military personnel are normally represented by checkages made against pay accounts.

Certain housing records are subject to the provisions of other General Records Schedules. Supply and fiscal files are covered by General Records Schedules 3 and 6. Schedules 1, 2, 8, and 10 may also be involved. Many records of agent cashiers serving as housing rental managers are similar to those of other Federal accountable officers and are disposable under General Records Schedule 6.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Housing General Correspondence Files.

   Correspondence files pertaining to the maintenance and management of housing projects.

   Destroy when 2 years old.

2. Housing Maintenance and Repair Files.

Maintenance and repair records for individual units.

a. Summary card or ledger record.

Destroy 3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves agency control.

Work orders, requisitions, and related papers involved in repair and maintenance work.

Destroy 3 fiscal years following close of fiscal year in which work is done.

3. Housing Management Files.

Reports pertaining to housing management, including expenditure, survey, collection, and other statistical and narrative data.

Destroy when 2 years old.

4. Housing Lease Files.

Copies of leases, renewals, termination notices, and related documents.

Destroy 3 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs or (b) litigation is concluded, whichever is later.

5. Housing Assignment and Vacancy Card Files.

a. Individual tenant cards.

Destroy when tenant vacates unit.

42. Individual housing unit cards.

Destroy 3 fiscal years after close of fiscal year in which unit is closed to tenancy or leaves agency control.

6. Housing Inventory Files.

Furnishing inventory files, pertaining to items included in furnished units.

Destroy 3 fiscal years after close of fiscal year in which inventory is superseded.

7. Housing Application Files (other than copies in lease files).

Rejected application files.

Destroy 1 year from date of rejection.

b. All others.

Destroy when 2 years old.

8. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 16

Administrative Management Records

This schedule provides for the disposal of certain records relating to administrative management activities in Federal agencies, excluding records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules. Included within the scope of the schedule are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities; and administration of management improvement programs. General Records Schedule 1 (Items 12 and 13) provide for the disposition of case files on individuals involved in incentive award and similar types of management improvement programs. Any records created prior to January 1, 1939, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

The organizational locations and titles of administrative management units vary from agency to agency. They may be scattered at numerous levels or locations, or may be centralized. For the purposes of this schedule, the nomenclature standards set forth by the Senate Committee on Government Operations in Senate Report No. 245, 80th Congress, 1st session, are followed: the first organizational level within an agency is the bureau level; subordinate components are, successively, division, branch, section, and unit.

This schedule is based on the presumption that management activities are carried on by a specialized person or unit with, at least, division-wide and usually bureau-wide or agency-wide responsibilities or by a group of such persons or units in an agency, although its provisions are applicable to exactly comparable records of agencies without such formal assignments of responsibility. Many similar or comparable records created at lower organizational levels or in field offices vary so greatly in content, value, and arrangement that they are not covered by this schedule.

Because of the nature of the activities documented by administrative management records, a relatively large proportion of them is of continuing value. Files with potential archival value are not covered by the General Records Schedules. They must be scheduled individually by submission of a Standard Form (SF) 115 to NARA. These records include organizational charts and reorganization studies, functional statements, delegations of authority, and agency histories. However, related temporary or ephemeral materials include working papers that do not have a direct bearing on the transaction, intermediate drafts of documents and worksheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routing slips, and extra copies of documents.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records

created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Administrative Issuances. [See note after item 1b.]

   a. Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).

      Destroy when superseded or obsolete.

   b. Case files related to (a) above that document aspects of the development of the issuance.

      Destroy when issuance is destroyed.

[**NOTE**: Record sets of formal directives, procedural and operating manuals, publications, and management improvement reports submitted to the Office of Management and Budget (OMB), and the case files documenting their development are potentially permanent records and must be scheduled by submission of an SF 115 to NARA.]

2. Records Disposition Files.

   Descriptive inventories, disposal authorizations, schedules, and reports.

   a. Basic documentation of records description and disposition programs, including SF 115, Request for Records Disposition Authority; SF 135, Records Transmittal and Receipt; SF 258, Agreement to Transfer Records to National Archives of the United States; and related documentation.

      (1) SF 115s that have been approved by NARA.

          Destroy 2 years after supersession.

      (2) Other records.

          Destroy 6 years after the related records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable.

   b. Routine correspondence and memoranda.

      Destroy when 2 years old.

3. Forms Files.

   a. One record copy of each form created by an agency with related instructions and documentation showing inception, scope, and purpose of the form.

      Destroy 5 years after related form is discontinued, superseded, or canceled.

   b. Background materials, requisitions, specifications, processing data, and control records.

      Destroy when related form is discontinued, superseded, or canceled.

4. Records Holdings Files.

   Statistical reports of agency holdings, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.

   a. Records held by offices that prepare reports on agency-wide records holdings.

      Destroy when 3 years old.

   b. Records held by other offices.

      Destroy when 1 year old.

5. Project Control Files.

   Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

   Destroy 1 year after the year in which the project is closed.

6. Reports Control Files.

   Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

   Destroy 2 years after the report is discontinued.

7. Records Management Files.

Correspondence, reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.

Destroy when 6 years old.

8. Committee and Conference Files.

a. Records relating to establishment, organization, membership, and policy of internal committees.

Destroy 2 years after termination of committee.

b. Records created by committees. [See note after item 8b(2).]

(1) Agenda, minutes, final reports, and related records documenting the accomplishments of official boards and committees, EXCLUDING those maintained by the sponsor or Secretariat. [See note after item 8b(1).]

Destroy when 3 years old.

[**NOTE**: Records maintained by the sponsor or Secretariat are potentially permanent and must be scheduled by submission of an SF 115 to NARA.]

(2) All other committee records.

Destroy when 3 years old.

[**NOTE**: Records created to comply with the provisions of the Government in the Sunshine Act, including transcriptions and minutes of closed meetings, electronic recordings for which verbatim transcripts do not exist, and annual reports to Congress describing the agency's compliance with the act, are permanent records and must be scheduled by submission of an SF 115 to NARA.]

c. Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act, including copies of charters, membership lists, agendas, policy statements, and material required to be available for public information. [See note after this item.]

Destroy 5 years after termination of committee.

[**NOTE**: This item does not apply to records maintained at the General Services Administration (GSA) or records covered elsewhere in this schedule.]

9. Feasibility Studies.

Studies conducted before the installation of any technology or equipment associated with information management systems, such as word processing, copiers, micrographics, and communications. Studies and system analyses for the initial establishment and major changes of these systems. Such studies typically include a consideration of the alternatives of the proposed system and a cost/benefit analysis, including an analysis of the improved efficiency and effectiveness to be expected from the proposed system.

Destroy 5 years after completion or cancellation of study.

10. Microform Inspection Records.

a. Agency copy of inventories, logs, and reports documenting the inspection of permanent microform records, as required by 36 CFR Part 1230. [See notes after item 10a.]

Destroy 1 year after the records are transferred to the National Archives of the United States.

[**NOTES**: (1) This item does not cover the copy of logs and reports that are attached to the SF 135 when records are transferred to a Federal records center or the SF 258 when records are transferred to the National Archives of the United States. (2) Inspection records for unscheduled records that are converted to microform are also unscheduled and may not be destroyed.]

b. Agency copy of logs and other records documenting the inspection of temporary microform records, as recommended by 36 CFR Part 1230.

Destroy when 2 years old or when superseded, whichever is later.

11. IRM Triennial Review Files.

Reports required by the GSA concerning reviews of information resources management (IRM) practices. Included are associated correspondence, studies, directives, feeder reports, and monitoring surveys and reports.

Destroy when 7 years old.

12. Information Collection Budget Files.

Reports required by the OMB under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations.

Destroy when 7 years old.

13. Documents Published in the Federal Register. [See note after item 13b.]

    a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing of petitions and applications; issuance or revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

       Destroy when 1 year old.

    b. Files documenting the processing of semiannual regulatory agenda.

       Destroy when 2 years old.

[**NOTE**: Agency files documenting the development, clearance, and processing of proposed and final rules for publication in the Federal Register are not covered by the General Records Schedules. These records may be, but are not necessarily, permanent. They must be scheduled individually by each agency so NARA can conduct an analysis and appraisal to determine their appropriate disposition.]

14. Management Control Records.

    Records created in accordance with procedures mandated by OMB Circular A-123, Management Accountability and Control Systems, and Pub.L. 97-255, the Federal Managers' Financial Integrity Act. Under these authorities, agencies are required to perform evaluations of their accounting and administrative controls to prevent waste, fraud, and mismanagement.

    a. Policy, procedure, and guidance files.

       Copies of internal directives maintained by the agency's internal control staff (but not those copies maintained in the agency's official file of internal directives); external directives such as OMB Circular A-123; and correspondence outlining policy and procedure for performing management reviews.

       Destroy when superseded.

    b. Management control plans.

       Comprehensive plans documenting the agency's efforts to ensure compliance with OMB Circular A-123.

Destroy when superseded.

c. Risk analyses.

Reports and supporting materials used to document review of program areas for susceptibility to loss or unauthorized use of resources, errors in reports and information, and illegal and unethical actions.

Cut off closed files annually. Destroy after next review cycle.

d. Annual reports and assurance statements created by organizational components below the agency (department or independent agency) level and compiled by the agency into a single unified report for direct submission to the President or Congress. [See note after item 14d.]

Cut off closed files annually. Destroy after next reporting cycle.

[**NOTE**: This item does not cover the consolidated final reports submitted directly to the President or Congress. The final reports must be scheduled by submitting an SF 115 to NARA.]

e. Tracking files.

Files used to ensure the completion and timeliness of submission of feeder reports, including schedules of evaluations, interim reporting, lists of units required to report, and correspondence relating to the performance of the reviews.

Destroy 1 year after report is completed.

f. Review files. [See note after item 14f(2).]

Correspondence, reports, action copies of audit findings, and other records that identify program internal control weaknesses, and corrective actions taken to resolve such problems. Since A-123 provides for alternative internal control reviews under OMB Circulars A-76, A-127, or A-130, this item also applies to copies of these reviews, provided they are identified as alternative reviews in the management control plan.

(1) Office with responsibility for coordinating internal control functions.

Cut off when no further corrective action is necessary. Destroy 5 years after cutoff.

(2) Copies maintained by other offices as internal reviews.

Cut off when no further corrective action is necessary. Destroy 1 year after cutoff.

[**NOTE**: Alternative reviews such as computer security reviews and management and consultant studies may need to be kept longer than provided in item 14f(2). This item applies only to **copies** maintained as internal reviews.]

15. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 17

Cartographic, Aerial Photographic, Architectural, and Engineering Records

Federal agencies create or receive cartographic, aerial photographic, architectural, and engineering design records in connection with their official activities. Many of these records have continuing historical value after they are no longer being used by the agency. Descriptions of both historically valuable and temporary records were formerly included in General Records Schedule 17, Cartographic, Remote Sensing Imagery, and Related Records, and in General Records Schedule 22, Design and Construction Drawings and Related Records. The General Records Schedules have been revised to cover only temporary records, and this schedule covers temporary records formerly included in those two schedules. Guidelines for identifying and scheduling the records of continuing value are now provided in "Managing Cartographic and Architectural Records: An Instructional Guide." The Guide must be used in conjunction with the General Records Schedule to ensure proper disposition of all cartographic, aerial photographic, architectural, and engineering design records held by an agency.

This schedule relates to cartographic records prepared during intermediate stages of publication, unannotated aerial photographic negatives and prints, and architectural and engineering drawings. Cartographic and aerial photographic records created before January 1, 1950, and architectural or engineering drawings created before January 1, 1921, must be brought to the attention of the National Archives and Records Administration (NARA) before applying the disposition instructions in this schedule.

1. Cartographic Records Prepared During Intermediate Stages of Publication.

   Scribed plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose informational content is duplicated by the final published map.

   Destroy when no longer needed for revision.

2. Reserved.

3. Architectural Drawings of Temporary Structures and Buildings or of Buildings Not Critical to the Mission of the Agency.

   Drawings of structures and buildings such as telephone and electric lines, storage sheds, parking lots, and comfort stations.

Destroy when superseded or after the structure or object has been retired from service.

4. Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.

   Destroy when superseded or after the structure or object has been retired from service.

5. Contract Negotiation Drawings.

   Drawings prepared during contract negotiation for buildings or objects lacking historical, architectural, or technological significance; drawings related to electrical, plumbing, heating, or air conditioning projects; or drawings superseded by final working/as built drawings.

   Destroy when the final working/as-built drawings have been produced.

6. Space Assignment Plans.

   Outline floor plans indicating occupancy of a building.

   Destroy when superseded or after the structure or object has been retired from service.

7. Reserved.

8. Engineering Drawings of Routine Minor Parts.

   Drawings of such objects as fasteners, nuts, bolts, wires, screws, nails, pipe fittings, brackets, struts, plates, and beams, if maintained separately or if segregable from a larger file.

   Destroy when superseded or after the structure or object has been retired from service.

9. Drawings Reflecting Minor Modifications.

   Repetitive engineering drawings showing minor modifications made during research and development, and superseded by final drawings, if filed separately or if readily segregable from a larger file.

   Destroy when superseded or after the structure or object has been retired from service.

10. Paint Plans and Samples. [See note after this item.]

    Plans and paint samples for painting all areas of buildings lacking historical, architectural, or technological significance and plans and samples for painting appliances, elevators, and other mechanical parts of buildings.

Destroy when superseded or after the structure or object has been retired from service.

[**NOTE**: Paint plans and samples for the interior and exterior walls of buildings significant for historical, architectural, or technological reasons are not disposable under this item and must be scheduled by submitting a Standard Form (SF) 115 to NARA.]

GENERAL RECORDS SCHEDULE 18

Security and Protective Services Records

Security and protective services records include the various files created by agencies to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by, or seeking employment from the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are selected files of offices having Government-wide or agencywide responsibility for security and protective services programs. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Records documenting Government-wide or agencywide security and protective services planning and programming, reflecting basic overall policies and determinations are not authorized for disposal by this schedule. Variations among agencies in methods of implementing statutory requirements for security and protective services result in dissimilarities in program documentation. The application of standard techniques of filing and disposition to such records through the medium of a General Records Schedule is therefore impractical. Any records created prior to January 1, 1921, must be offered to the National Archives and Records Administration (NARA) before applying these disposition instructions.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with Executive orders and statutory or regulatory requirements.

1. Classified Documents Administrative Correspondence Files. [See note after this item.]

   Correspondence files pertaining to the administration of security classification, control, and accounting for classified documents, not covered elsewhere in this schedule.

   Destroy when 2 years old.

[**NOTE**: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]

2. Document Receipt Files.

   Records documenting the receipt and issuance of classified documents.

   Destroy when 2 years old.

3. Destruction Certificates Files.

   Certificates relating to the destruction of classified documents.

   Destroy when 2 years old.

4. Classified Document Inventory Files.

   Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.

   Destroy when 2 years old.

5. Top Secret Accounting and Control Files. [See note after item 5b.]

   a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

      Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

   b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

      Destroy when related document is downgraded, transferred, or destroyed.

[**NOTE**: Master files and data bases created to supplement or replace the records covered by item 5 are not authorized for disposal under the GRS. Such files must be scheduled on a Standard Form (SF) 115.]

6. Access Request Files.

   Requests and authorizations for individuals to have access to classified files.

Destroy 2 years after authorization expires.

7. Classified Document Container Security Files. [See note after item 7b.]

   a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.

      Destroy when superseded by a new form or list or upon turn-in of containers.

   b. Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows, and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet.

      Destroy 3 months following the last entry on the form (see note).

[**NOTE**: Forms involved in investigations will be retained until completion of the investigation.]

FACILITIES SECURITY AND PROTECTIVE SERVICES RECORDS

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

8. Security and Protective Services Administrative Correspondence Files. [See note after this item.]

   Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.

   Destroy when 2 years old.

[**NOTE**: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for security and protective services programs.]

9. Survey and Inspection Files. (Government-owned facilities)

   Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.

Destroy when 3 years old or upon discontinuance of facility, whichever is sooner.

10. Survey and Inspection Files. (privately owned facilities)

    Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies and related documents.

    Destroy when 4 years old or when security cognizance is terminated, whichever is sooner.

11. Investigative Files.

    Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.

    Destroy when 2 years old.

12. Property Pass Files.

    Property pass files, authorizing removal of property or materials.

    Destroy 3 months after expiration or revocation.

13. Guard Assignment Files.

    Files relating to guard assignments and strength.

    a. Ledger records.

       Destroy 3 years after final entry.

    b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.

       Destroy when 2 years old.

14. Police Functions Files.

    Files relating to exercise of police functions.

    a. Ledger records of arrest, cars ticketed, and outside police contacts.

Destroy 3 years after final entry.

b. Reports, statements of witnesses, warning notices, and other documents relating to arrests, commitments, and traffic violations.

Destroy when 2 years old.

c. Reports on contact of outside police with building occupants.

Destroy when 1 year old.

15. Personal Property Accountability Files.

Files relating to accountability for personal property lost or stolen.

a. Ledger files.

Destroy 3 years after final entry.

b. Reports, loss statements, receipts, and other documents relating to lost and found articles.

Destroy when 1 year old.

16. Key Accountability Files.

Files relating to accountability for keys issued.

a. For areas under maximum security.

Destroy 3 years after turn-in of key.

b. For other areas.

Destroy 6 months after turn-in of key.

17. Visitor Control Files.

Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

a. For areas under maximum security.

Destroy 5 years after final entry or 5 years after date of document, as appropriate.

b. For other areas.

Destroy 2 years after final entry or 2 years after date of document, as appropriate.

18. Facilities Checks Files.

Files relating to periodic guard force facility checks.

a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices covered by item 24 of this schedule).

Destroy when 1 year old.

b. Reports of routine after-hours security checks that either do not reflect security violations or for which the information contained therein is documented in the files defined in item 24 of this schedule.

Destroy when 1 month old.

19. Guard Service Control Files.

a. Control center key or code records, emergency call cards, and building record and employee identification cards.

Destroy when superseded or obsolete.

b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.

Destroy when 1 year old.

c. Automatic machine patrol charts and registers of patrol and alarm services.

Destroy when 1 year old.

d. Arms distribution sheets, charge records, and receipts.

Destroy 3 months after return of arms.

20. Logs and Registers.

Guard logs and registers not covered elsewhere in this schedule.

a. Central guard office master logs.

Destroy 2 years after final entry.

b. Individual guard post logs of occurrences entered in master logs.

Destroy 1 year after final entry.

PERSONNEL SECURITY CLEARANCE RECORDS

Records accumulating from investigations of personnel conducted under Executive orders and statutory or regulatory requirements.

21. Security Clearance Administrative Subject Files.

Correspondence, reports, and other records relating to the administration and operation of the personnel security program, not covered elsewhere in this schedule.

Destroy when 2 years old.

22. Personnel Security Clearance Files.

Personnel security clearance case files created under Office of Personnel Management procedures and regulations and related indexes maintained by the personnel security office of the employing agency.

a. Case files documenting the processing of investigations on Federal employees or applicants for Federal employment, whether or not a security clearance is granted, and other persons, such as those performing work for a Federal agency under contract, who require an approval before having access to Government facilities or to sensitive data. These files include questionnaires, summaries of reports prepared by the investigating agency, and other records reflecting the processing of the investigation and the status of the clearance, exclusive of copies of investigative reports furnished by the investigating agency.

Destroy upon notification of death or not later than 5 years after separation or transfer of employee or no later than 5 years after contract relationship expires, whichever is applicable.

b. Investigative reports and related documents furnished to agencies by investigative organizations for use in making security/suitability determinations.

Destroy in accordance with the investigating agency instructions.

c. Index to the Personnel Security Case Files.

Destroy with related case file.

23. Personnel Security Clearance Status Files.
Lists or rosters showing the current security clearance status of individuals.

Destroy when superseded or obsolete.

24. Security Violations Files.

Case files relating to investigations of alleged violations of Executive orders, laws, or agency regulations for the safeguarding of national security information.

a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Department of Defense for prosecutive determination, exclusive of files held by the Department of Justice or Department of Defense offices responsible for making such determinations.

Destroy 5 years after close of case.

b. All other files, exclusive of documents placed in official personnel folders.

Destroy 2 years after completion of final action.

25. Classified Information Nondisclosure Agreements.

Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by Executive orders governing security classification. These forms should be maintained separately from personnel security clearance files. Agreements for civilian employees working for elements of the intelligence community must be maintained separately from the official personnel folder. For all other persons, these forms may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees).

a. If maintained separately from the individual's official personnel folder.

Destroy when 70 years old.

b. If maintained in the individual's official personnel folder.

Apply the disposition for the official personnel folder.

EMERGENCY PLANNING RECORDS

Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.

26. Emergency Planning Administrative Correspondence Files. [See note after this item.]

    Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.

    Destroy when 2 years old.

[**NOTE**: This item does not cover records documenting policies and procedures accumulated in offices having agencywide responsibilities for emergency programs.]

27. Emergency Planning Case Files. [See notes after this item.]

    Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files.

    Destroy 3 years after issuance of a new plan or directive.

[**NOTES**: (1) If the emergency plan is not included in the agency's master set of directives files, a record set must be maintained and scheduled for eventual transfer to the National Archives of the United States by submission of an SF 115 to NARA. (2) Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting agencywide results of tests conducted under emergency plans are also permanent and must be scheduled for transfer to the National Archives of the United States by submission of an SF 115.]

28. Emergency Operations Tests Files.

    Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports.

    Destroy when 3 years old.

29. National Defense Executive Reserve (NDER) Case Files.
    Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in cases of national security emergencies, including

qualifications statement, other personnel and administrative records, skills inventory, training data, and other records relating to administration of the NDER program.

a. Case files on reservists.

   Destroy 5 years after termination from NDER program.

b. Case files on individuals whose applications were rejected or withdrawn.

   Destroy when 5 years old.

30. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 20

Electronic Records

This schedule provides disposal authorization for certain electronic records and specified hard-copy (paper) or microform records that are integrally related to the electronic records.

This schedule applies to disposable electronic records created or received by Federal agencies including those managed for agencies by contractors. It covers records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain disposable electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in GRS 20, regardless of the type of computer used to create or store these records.

GRS 20 does not cover all electronic records. Electronic records not covered by GRS 20 may not be destroyed unless authorized by a Standard Form 115 that has been approved by the National Archives and Records Administration (NARA). The records covered by several items in this schedule are authorized for erasure or deletion when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. NARA cannot establish a more specific retention that would be appropriate in all applications. Each agency should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old," for inclusion in its records disposition directives or manual. NARA approval is not needed to set retention periods for records in the GRS that are authorized for destruction when no longer needed.

Items 2a and 1a (in part) of this schedule apply to hard-copy or microform records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Items 10 and 11 of this schedule should be applied to special purpose programs and documentation for disposable electronic records whatever the medium in which such documentation and programs exist.

This schedule has been revised to include electronically-generated records previously covered in General Records Schedule 23, Records Common to Most Offices. The original numbering of the items in GRS 20 has been preserved. The items moved from GRS 23 have been added at the end, except the item covering administrative data bases that has been incorporated into item 3.

Electronic versions of records authorized for disposal elsewhere in the GRS may be deleted under the provisions of item 3 of GRS 20. See also 36 CFR Part 1234 for NARA regulations on electronic records management.

1. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records.

   a. Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records.

      Delete/destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

   b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records.

      Delete after information has been transferred to the master file and verified.

   c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

      Delete/destroy when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes.

2. Input/Source Records.

   a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.

      Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

   b. Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes.

      Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later.

   c. Electronic records received from another agency and used as input/ source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.

Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or database, whichever is later.

d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database.

Delete after the necessary data have been incorporated into a master file.

3. Electronic Versions of Records Scheduled for Disposal.

a. Electronic versions of records that are scheduled for disposal under one or more items in GRS 1-16, 18, 22, or 23; EXCLUDING those that replace or duplicate the following GRS items: GRS 1, items 21, 22, 25f; GRS 12, item 3; and GRS 18, item 5.

Delete after the expiration of the retention period authorized by the GRS or when no longer needed, whichever is later.

b. Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule.

(1) When hard copy records are retained to meet recordkeeping requirements.

Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

(2) When the electronic record replaces hard copy records that support administrative housekeeping functions.

Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.

(3) Hard copy printouts created for short-term administrative purposes.

Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

4. Data Files Consisting of Summarized Information.

Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under a GRS item or is authorized for deletion by a disposition job approved by NARA after

January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed before securing NARA approval.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTE: Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed before securing NARA approval.]

5. Records Consisting of Extracted Information.

Electronic files consisting solely of records extracted from a single master file or data base that is disposable under GRS 20 or approved for deletion by a NARA-approved disposition s chedule, EXCLUDING extracts that are:

a) produced as disclosure-free files to allow public access to the data; or

b) produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed before securing NARA approval. For print and technical reformat files see items 6 and 7 of this schedule respectively.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTES: (1) Records consisting of extracted information that was created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed may not be destroyed before securing NARA approval. (2) See item 12 of this schedule for other extracted data.]

6. Print File.

Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

7. Technical Reformat File.

Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

8. Backups of Files.

Electronic copy, considered by the agency to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or database is damaged or inadvertently erased.

a. File identical to records scheduled for transfer to the National Archives.

Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied.

b. File identical to records authorized for disposal in a NARA-approved records schedule.

Delete when the identical records have been deleted, or when replaced by a subsequent backup file.

9. Finding Aids (or Indexes).

Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Delete with related records or when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes, whichever is later.

10. Special Purpose Programs.

Application software necessary solely to use or maintain a master file or database authorized for disposal in a GRS item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or database or any master file or database scheduled for transfer to the National Archives.

Delete when related master file or database has been deleted.

11. Documentation.

a. Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or

data base that has been authorized for destruction by the GRS or a NARA-approved disposition schedule.

Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

b. Copies of records relating to system security, including records documenting periodic audits or review and re certification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130.

Destroy or delete when superseded or obsolete.

[NOTES: (1) Documentation that relates to permanent or unscheduled master files and data bases is not authorized for destruction by the GRS. (2) See item 1a of this schedule for documentation relating to system testing.]

12. Downloaded and Copied Data.

Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained.

a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or review.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.

Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

c. Metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.

Delete from the receiving system or device when no longer needed for processing.

[NOTE: See item 5 of this schedule for other extracted data.]

13. Word Processing Files.

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the word processing system when no longer needed for updating or revision.

14. Electronic Mail Records.

Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the e-mail system after copying to a recordkeeping system.

[NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.]

15. Electronic Spreadsheets.

Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

a. When used to produce hard copy that is maintained in organized files.

Delete when no longer needed to update or produce hard copy.

b. When maintained only in electronic form.

Delete after the expiration of the retention period authorized for the hard copy by the GRS or a NARA-approved SF 115. If the electronic version replaces hard copy records with differing retention periods and agency software does not readily permit selective deletion, delete after the longest retention period has expired.

GENERAL RECORDS SCHEDULE 21

Audiovisual Records

This schedule covers audiovisual and related records created by or for agencies of the Federal Government as well as those acquired in the course of business. For audiovisual records that are not described in this schedule, agencies must request disposition authority by submitting a Standard Form (SF) 115, Request for Records Disposition Authority, to the National Archives and Records Administration (NARA) Life Cycle Management Division (NWML).

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by GRS 17; temporary computerized data are covered by GRS 20 and GRS 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1230.10(b).

This schedule does not include descriptions of permanent or potentially permanent records. Guidance about the identification, maintenance, use, and disposition of potentially permanent audiovisual records is provided in the NARA publication, "Managing Audiovisual Records: An Instructional Guide" and NARA records management regulations at 36 CFR 1228.184, Audiovisual Records.

The word "destroy" is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-45.10, "Recovery of Precious Metals."

This General Records Schedule authorizes the disposal of certain records without further concurrence from NARA. Agencies are encouraged to include specific series descriptions for such records in their comprehensive schedules while citing the applicable disposition instruction from this General Records Schedule as the authority for destroying the records.

STILL PHOTOGRAPHY

1. Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency.

   Destroy when 1 year old.

2. Personnel Identification or Passport Photographs.

   Destroy when 5 years old or when superseded or obsolete, whichever is later.

3. Internal Personnel and Administrative Training Filmstrips and Slides of Programs that do not Reflect the Mission of the Agency.

   Destroy 1 year after completion of training program.

4. Reserved.

GRAPHIC ARTS

5. Viewgraphs.

   Destroy 1 year after use.

6. Routine Artwork for Handbills, Flyers, Posters, Letterhead, and other Graphics.

   Destroy when no longer needed for publication or reprinting.

7. Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction.

   Destroy when no longer needed for publication or reprinting.

8. Line Copies of Graphs and Charts.

   Destroy when no longer needed for publication or reprinting.

MOTION PICTURES

9. Films Acquired from Outside Sources for Personnel and Management Training.

   Destroy 1 year after completion of training program.

10. Reserved.

11. Routine Surveillance Footage.

    Destroy when 6 months old.

12. Routine Scientific, Medical, or Engineering Footage.

    Destroy when 2 years old.

13. Reserved.

VIDEO RECORDINGS

14. Programs Acquired from Outside Sources for Personnel and Management Training.

    Destroy 1 year after completion of training program.

15. Reserved.

16. Rehearsal or Practice Tapes.

    Destroy immediately.

17. Internal Personnel and Administrative Training Programs that do not Reflect the Mission of the Agency. (These include "role-play" sessions, management and supervisory instruction, etc.)

    Destroy 1 year after completion of training program.

18. Routine Surveillance Recordings.

    Destroy when 6 months old.

19. Routine Scientific, Medical, or Engineering Recordings.

    Destroy when 2 years old.

20. Recordings that Document Routine Meetings and Award Presentations.

    Destroy when 2 years old.

21. Reserved.

AUDIO (SOUND) RECORDINGS

22. Recordings of Meetings Made Exclusively for Note Taking or Transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions. [See note after this item.]

Destroy immediately after use.

[NOTE: Recordings of Presidential and other executive commissions are not covered by the GRS. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.

23. Dictation Belts or Tapes.

    Destroy immediately after use.

24. Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production.

    Destroy immediately after use.

25. Reserved.

26. Daily or Spot News Recordings Available to Local Radio Stations on a Call-in Basis.

    Destroy when 6 months old.

27. Reserved.

RELATED DOCUMENTATION

28. Production Files or Similar Files that Document Origin, Development, Acquisition, Use, and Ownership of Temporary Audiovisual Records.

    Dispose of according to the instructions covering the related audiovisual records.

29. Finding Aids for Identification, Retrieval, or Use of Temporary Audiovisual Records.

    Dispose of according to the instructions covering the related audiovisual records.

GENERAL RECORDS SCHEDULE 22

Inspector General Records

Prior to issuance of the 1998 edition, the General Records Schedules included in GRS 22 coverage of investigative and audit case files maintained in the Offices of Inspector General (OIG) of civilian agencies other than the Central Intelligence Agency. The National Archives and Records Administration (NARA) first issued a general records schedule for OIG records in 1986. Over a period of ten years, NARA (on a case by case basis) granted a number of agencies authority to deviate from the provisions of GRS 22, which in many instances involved scheduling some or all of the records in a series as permanent.

A study of the disposition of OIG records in Federal agencies conducted by NARA demonstrated that GRS 22 does not provide effective disposition authority for most agencies' OIG audit and investigation case files. The many exceptions, exclusions, and deviations approved for agency use demonstrate that for practical purposes the GRS standards no longer had Government-wide application. Also, in some agencies the OIG has assumed additional specialized responsibilities (e.g., the conduct of external audits) which were not reflected in GRS 22. As a result of the study, NARA determined that the disposition of OIG records should not be governed by a General Records Schedule. This approach will ensure that all agency OIG records are properly appraised by NARA.

GRS 22 is therefore WITHDRAWN.

GENERAL RECORDS SCHEDULE 23

Records Common to Most Offices Within Agencies

This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files; facilitative records such as suspense files, tracking and control records, calendars, and indexes; and transitory documents. This schedule does not apply to any materials that the agency has determined to be nonrecord or to materials, such as calendars or work schedules, claimed as personal.

Office Administrative Files described under item 1 are records retained by an originating office as its record of initiation of an action, request, or response to requests for information. This item may be applied only to separate administrative files containing such records as copies of documents submitted to other offices for action including budget feeder documents, purchase orders, and training requests. Item 1 may not be applied to files that also contain program records, and it may not be applied by an office that receives and takes action on documents submitted by other offices.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by agencies in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

1. Office Administrative Files. [See note after this item.]

   Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

   Destroy when 2 years old.

[**NOTE**: This schedule is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures

of the office, which must be scheduled prior to disposition by submitting a Standard Form (SF) 115 to the National Archives and Records Administration (NARA).]

2-4. Reserved.

5. Schedules of Daily Activities.

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files, EXCLUDING records relating to the official activities of high Government officials. [See note after item 5a.]

Destroy or delete when 2 years old.

[**NOTE**: High level officials include the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. Unique substantive records relating to the activities of these individuals must be scheduled by submission of an SF 115 to NARA.

b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

Destroy or delete when no longer needed for convenience of reference.

6. Suspense Files.

Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

a. A note or other reminder to take action.

Destroy after action is taken.

b. The file copy or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

Withdraw documents when reply is received. (1) If suspense copy is an extra copy, destroy immediately. (2) If suspense copy is the file copy, incorporate it into the official files.

7. Transitory Files.

Documents of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below.

∃ Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.

∃ Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.

∃ Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.

Destroy when 3 months old.

8. Tracking and Control Records.

Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the GRS or a NARA-approved SF 115.

Destroy or delete when 2 years old, or 2 years after the date of the latest entry, whichever is applicable.

9. Finding Aids (or Indexes).

Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing

abstracts or other information that can be used as an information source apart from the related records.
Destroy or delete with the related records.

10. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULE 24

Information Technology Operations and Management Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. As defined in the Information Technology Management Reform Act of 1996 (now the Clinger-Cohen Act), "information technology" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

This GRS does not cover all records relating to information technology operations and management. Offices with responsibility for IT operations also maintain administrative records covered by other GRS and records not in the GRS that must be scheduled by the agency. In addition, this GRS does not apply to system data or information content, which must be scheduled separately by submitting an SF 115, Request for Records Disposition Authority, to NARA.

The disposition instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, in microform, or electronically. Dispositions apply, however, only to records that are maintained as described in each item or subitem. If documents are part of a larger case file or recordkeeping system that contains records not covered in this GRS, agencies must separately schedule that file or system by submitting an SF 115 to NARA. If records covered by more than one item in this schedule are maintained together in one file or recordkeeping system, agencies must retain the records for the longest retention period authorized for those items.

Note that GRS 20, Electronic Records, remains in effect. GRS 20 covers certain temporary files associated with data base management. This new schedule supplements GRS 20 by providing disposal authority for temporary records relating to overall IT management, as opposed to the operation and use of specific systems. NARA is reviewing alternatives to GRS 20 and will develop revised requirements as it explores new approaches to managing electronic records.

1. Oversight and Compliance Files.

   Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities.

   a. Performance measurements and benchmarks.

      Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

b. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance.

Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer.

[**Note**: See item 3b for performance files relating to systems.]

2. IT Facility, Site Management, and Equipment Support Services Records.

Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence.

Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer.

3. IT Asset and Configuration Management Files.

a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets.

Destroy/delete 1 year after completion of the next inventory.

b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:

(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management.

Destroy/delete 1 year after termination of system.

(2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective (enhancement) maintenance

actions, including requests for service, work orders, service histories, and related records.

Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner.

[**Note**: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).]

4. System Backups and Tape Library Records.

   a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data.

      (1) Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later.

      (2) Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.

[**Note**: See GRS 20, item 8, for backups of master files and databases.]

   b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs.

      Destroy/delete when superseded or obsolete.

5. Files Related to Maintaining the Security of Systems and Data.

   a. System Security Plans and Disaster Recovery Plans.

      Destroy/delete 1 year after system is superseded.

   b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data.

      Destroy/delete 1 year after system is superseded.

6. User Identification, Profiles, Authorizations, and Password Files, EXCLUDING records relating to electronic signatures.

   a. Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records.

Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later.

b. Routine systems, i.e., those not covered by item 6a.

See GRS 20, item 1c.

7. Computer Security Incident Handling, Reporting and Follow-up Records.

Destroy/delete 3 years after all necessary follow-up actions have been completed.

8. IT Operations Records.

a. Workload schedules, run reports, and schedules of maintenance and support activities.

Destroy/delete when 1 year old.

b. Problem reports and related decision documents relating to the software infrastructure of the network or system.

Destroy/delete 1 year after problem is resolved.

c. Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports.

Destroy/delete when 3 years old.

9. Financing of IT Resources and Services.

[**Note**: Copies of records needed to support contracts should be in procurement files, which are scheduled under GRS 3.]

a. Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response times and volumes, charging, integrity guarantees, and non-disclosure agreements.

Destroy/delete 3 years after agreement is superseded or terminated.

b. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance.

Destroy/delete 3 years after control measures or procedures are superseded or terminated.

c. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7.

Destroy/delete records with no outstanding payment issues when 3 years old.

10. IT Customer Service Files.

a. Records related to providing help desk information to customers, including pamphlets, responses to "Frequently Asked Questions,"' and other documents prepared in advance to assist customers.

Destroy/delete 1 year after record is superseded or obsolete.

b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting.

Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.

11. IT Infrastructure Design and Implementation Files.

Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results.

a. Records for projects that are not implemented.

Destroy/delete 1 year after final decision is made.

b. Records for projects that are implemented.

Destroy/delete 5 years after project is terminated.

c. Installation and testing records.

Destroy/delete 3 years after final decision on acceptance is made.

[**Note**: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]

12. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this GRS 24 schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

GRS 24 Implementation Aid

GRS 24 Schedule Items	Examples of Types of Records
1. Oversight and Compliance Files Records in offices with agency-wide or bureau-wide responsibility for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities. a. Performance measurements and benchmarks. Destroy/delete when 5 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. b. All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance. Destroy/delete when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. [Note: See item 3b for performance files relating to systems.]	*Statistical performance data for systems and networks; System availability reports; Sample performance indicators* *Target IT architecture reports; Systems development lifecycle handbooks; Network assessments; Contractor evaluation reports; Market analyses; Performance surveys; Cost-benefit analyses; Histograms; Corrective action reports*
2. IT Facility, Site Management, and Equipment Support Services Records. Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided to specific sites, including reviews, site visit reports, trouble reports, equipment service histories, reports of follow-up actions, and related correspondence. Destroy/delete when 3 years old, or when superseded or obsolete, whichever is longer.	*Listings of facilities; Inspection reports*
3. IT Asset and Configuration Management Files. a. Inventories of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets. Destroy/delete 1 year after completion of the next inventory. b. Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning, follow-up, and impact assessment of operational networks and systems. Includes, but is not limited to:	*Maintenance IT assets: Inventories of assets, Equipment control systems; Databases of barcodes; Bar code*

(1) Data and detailed reports on implementation of systems, applications and modifications; application sizing, resource and demand management; documents identifying, requesting, and analyzing possible changes, authorizing changes, and documenting implementation of changes; documentation of software distribution and release or version management. Destroy/delete 1 year after termination of system. (2) Records of routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and perfective enhancement) maintenance actions, including requests for service, work orders, service histories, and related records. Destroy/delete when 3 years old or 1 year after termination of system, whichever is sooner. NOTE: If any maintenance activities have a major impact on a system or lead to a significant change, those records should be maintained as part of the item 3b(1).	*reports; Maintenance service histories; Asset management guides, Service; Requisitions for equipment maintenance; Change orders; Purchase orders for maintenance; Property transfer control systems; Flow reconfiguration requests; Standardization requests and justifications.*
4. System Backups and Tape Library Records. a. Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. (1) Delete/destroy incremental backup tapes when superseded by a full backup, or when no longer needed for system restoration, whichever is later. (2) Delete/destroy full backup tapes when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later. [Note: See GRS 20, item 8, for backups of master files and databases.] b. Tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holdings and control logs. Destroy/delete when superseded or obsolete.	*Backup tapes; Backups of system software* *Location vault lists; Offsite storage facilities; Bin location*
5. Files Related to Maintaining the Security of Systems and Data. a. System Security Plans and Disaster Recovery Plans. Destroy/delete 1 year after system is superseded. b. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data. Destroy/delete 1 year after system is superseded.	*Computer technical manuals; Continuity of Operations plans; Disaster exercise evaluations; Disaster exercises; Disaster recovery plans; Risk surveys; Security plans for IT infrastructure; Vulnerability assessments by IG; Vulnerability assessments/studies*

	Risk management analyses; Security directives; Security policy analysis; Virus handbooks; Vulnerability analyses
6. User Identification, Profiles, Authorizations, and Password Files EXCLUDING records relating to electronic signatures. a. Systems requiring special accountability, e.g., those containing information that may be needed for audit or investigative purposes and those that contain classified records. Destroy/delete inactive file 6 years after user account is terminated or password is altered, or when no longer needed for investigative or security purposes, whichever is later. b. Routine systems, i.e., those not covered by item 6a. See GRS 20, item 1c.	*User identification; User profiles; User passwords Profiles; User authorizations*
7. Computer Security Incident Handling, Reporting and Follow-up Records Destroy/delete 3 years after all necessary follow-up actions have been completed.	*Reports and documen-tation of Web site defacement; Hacks; Break-in records; Improper usage by staff; Misuse of system; Security breaches; Security break-ins; Security failures; Unauthorized intrusions; Virus threats*
8. IT Operations Records a. Workload schedules, run reports, and schedules of maintenance and support activities. Destroy/delete when 1 year old. b. Problem reports and related decision documents relating to the software infrastructure of the network or system. Destroy/delete 1 year after problem is resolved. c. Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports. Destroy/delete when 3 years old.	*Cycle time reports; Maintenance schedules; Run reports; Workload schedules* *Software problem reports* *Benchmark measures; Operation reports; Performance monitoring*
9. Financing of IT Resources and Services [Note: Copies of records needed to support contracts should be in procurement files, which are scheduled under GRS 3.] a. Agreements formalizing performance criteria for quantity and quality of service, including definition of responsibilities, response	

times and volumes, charging, integrity guarantees, and non-disclosure agreements. Destroy/delete 3 years after agreement is superseded or terminated. b. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance. Destroy/delete 3 years after control measures or procedures are superseded or terminated. c. Records generated in IT management and service operations to identify and allocate charges and track payments for computer usage, data processing and other IT services EXCLUDING records that are part of the agency's cost accounting system, which are covered in GRS 8, items 6 and 7. Destroy/delete records with no outstanding payment issues when 3 years old.	*Acquisition; Contract award fees; Financial mgmt; Financial records; Payment for software and services; Performance agreements; Service level agreements; Service support levels; Third party agreements*
10. IT Customer Service Files a. Records related to providing help desk information to customers, including pamphlets, responses to ``Frequently Asked Questions,'' and other documents prepared in advance to assist customers. Destroy/delete 1 year after record is superseded or obsolete. b. Help desk logs and reports and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting. Destroy/delete when 1 year old or when no longer needed for review and analysis, whichever is later.	*Customer queries; Customer service; End-user inquiries; Feedback records; FAQs; Help Desk logs; Pamphlets; Requests for assistance; Trend analysis; Trouble reports; User guides*
11. IT Infrastructure Design and Implementation Files Records of individual projects designed to provide and support new agency IT infrastructure (see Note), systems, and services. Includes records documenting (1) requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware, installing and upgrading network operating systems and shared applications, and providing data telecommunications; (2) infrastructure development and maintenance such as acceptance/ accreditation of infrastructure components, analysis of component options, feasibility, costs and benefits, and work associated with implementation, modification, and troubleshooting; (3) models, diagrams, schematics, and technical documentation; and (4) quality assurance reviews and test plans, data, and results. a. Records for projects that are not implemented. Destroy/delete 1 year after final decision is made.	*Acquisition; Implementation of new systems; Installation and testing; Installation reviews; New enterprise projects; Quality assurance plans; Requirements specifications; Technology refresh plans; Test plans*

b. Records for projects that are implemented. Destroy/delete 5 years after project is terminated. c. Installation and testing records. Destroy/delete 3 years after final decision on acceptance is made. [Note: IT Infrastructure means the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Components include hardware such as printers, desktop computers, network and web servers, routers, hubs, and network cabling, as well as software such as operating systems (e.g., Microsoft Windows and Novell NetWare) and shared applications (e.g., electronic mail, word processing, and database programs). The services necessary to design, implement, test, validate, and maintain such components are also considered part of an agency's IT infrastructure. However, records relating to specific systems that support or document mission goals are not covered by this item and must be scheduled individually by the agency by submission of an SF 115 to NARA.]	
12. Electronic Mail and Word Processing System Copies. Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this GRS 24 schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination. a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. Destroy/delete within 180 days after the recordkeeping copy has been produced. b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. Destroy/delete when dissemination, revision, or updating is completed.	*Copies of records in this GRS 24 created using electronic mail and word processing*

GENERAL RECORDS SCHEDULE 25

Ethics Program Records

Title IV of the Ethics in Government Act of 1978 as amended, 5 U.S.C. appendix, title IV, authorizes the development of an executive branch-wide ethics program to ensure that decisions made by employees are neither tainted by, nor appear to be tainted by, any question of conflicts of interest. Under the relevant sections of title IV and Office of Government Ethics (OGE) executive branch-wide regulation at 5 C.F.R. part 2638, each agency is required to establish an ethics program. This schedule covers records documenting the activities of executive branch agency ethics program offices and provides disposition for financial disclosure reports; ethics agreements; outside employment and activity records; referrals of violations of criminal conflict of interest statutes; ethics determination, advice, consultation, and training records; and other commonly held ethics program records. Records pertaining to legislative branch and judicial ethics programs, the Hatch Act, the Whistleblower Protection Act, procurement integrity and other areas often associated with, but not expressly under the authority of executive branch ethics programs, are not covered by this schedule.

Master lists of financial disclosure report filers, individuals requesting outside employment and activities approval, and other types of ethics-related master lists are not included in this schedule. Ethics-related master lists that are used solely for the purpose of tracking and controlling ethics records should be disposed of in accordance with GRS 23 Item 8, Tracking and Control Records. Master lists that are used for purposes in addition to tracking and controlling ethics records should be disposed of in accordance with the disposition for the underlying records as listed in this schedule or as otherwise scheduled.

Note: Executive branch ethics program records are sometimes needed in an ongoing investigation. Such records should be retained beyond their approved retention period until no longer needed in the investigation.

1. Ethics Program Implementation, Interpretation, Counseling, and Development Files.

Records maintained by ethics program offices relating to the development, review, implementation, and interpretation of proposed or established executive branch standards of ethical conduct and other ethics regulations; conflict of interest and other ethics related statutes and Executive Orders; and any agency supplemental standards of ethical conduct and other agency ethics-related regulations and directives. Including:

- Records documenting the review of proposed or established ethics-related statutes and regulations by ethics program officials, including copies of proposed legislation, comments, and all related records.

- Determinations, including advice and counseling to individual employees, and supporting records.

- Records relating to requests under agency supplemental standards of ethical conduct for prior approval of outside employment and activities.

a. Records such as determinations regarding attendance at widely-attended gatherings which appropriate agency ethics officials determine are related to the routine, non-precedential application of settled legal standards to common factual situations and are not interpretations of the conflict of interest statutes, 18 U.S.C. " 202-209, and other ethics statutes the violation of which may result in criminal penalties or civil fines.

Destroy when 3 years old or when superseded or obsolete, whichever is later.

b. All other records.

Destroy when 6 years old or when superseded or obsolete, whichever is later.

2. Financial Disclosure Reporting Files.

Financial disclosure reports submitted by individuals as required or authorized under the Ethics in Government Act of 1978 (Pub. L. 95-521), as amended, and related records, including records of late filing fee payments or requests for public reporting waivers of late filing fees and responses; comment sheets by report reviewers and filer responses; filing extension requests and determinations; and copies of applications for public release of financial disclosure report.

a. Executive Branch Personnel Public Financial Disclosure Reports (SF 278) and related records.

(1) SF 278 reports for individuals filing in accordance with Section 101(b) or (c) of the Act, and not subsequently confirmed by the U.S. Senate or elected.

Destroy 1 year after nominee or candidate ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

(2) All other SF 278s.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

b. Executive Branch Confidential Financial Disclosure Reports (OGE Form 450) and Confidential Certificates of No New Interests (OGE Optional Form 450-A) and related records.

(1) OGE Form 450s for individuals not subsequently confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

(2) All other OGE Form 450s and OGE Optional Form 450-As.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

c. Alternative or additional financial disclosure reports and related records.

(1) Reports for individuals not subsequently confirmed by the U.S. Senate.

Destroy 1 year after nominee ceases to be under consideration for the position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

(2) All other alternative or additional financial disclosure reports.

Destroy when 6 years old; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation.

3. Ethics Agreement Records.

Records documenting the review and issuance of ethics agreements used to remedy the appearance of potential or actual financial conflicts of interest, including:

- Records relating to the review and issuance of recusals (disqualifications), resignations, reassignments, and divestitures.

- Records relating to determinations, authorizations, and waivers under 5 C.F.R. " 2635.502 and 2635.503.

- Records relating to the review and issuance of waivers of disqualifications under 18 U.S.C. ' 208 (b)(1) and (b)(3).

Destroy 6 years after the waiver or other agreed-upon determination or action has been issued or undertaken or is no longer in effect, whichever is later.

4. Referrals and Notifications of Violations of Criminal Conflict of Interest Statutes and Other Potential Violations Files.

Referrals made to Inspectors General or the Department of Justice and notifications to OGE concerning ethics violations or suspected violations. This item also covers related background materials, including copies of disciplinary and corrective actions and disposition documents such as declinations of prosecution.

Destroy when 6 years old.

5. Non-Federally Funded Travel Files.

a. Agency copies of Semiannual Expense Reports for Non-Federally Funded Travel submitted by all Executive branch agencies to the Office of Government Ethics in accordance with guidance given at 31 U.S.C. ' 1353, as implemented by 41 C.F.R. chapter 304 and the use of Standard Form (SF) 326 and SF 326A. Reports summarize payments made to the agency from non-Federal sources for travel, subsistence, and related expenses of an employee who attends a meeting or similar function relating to official duties.

Destroy when 3 years old.

b. Statements, forms, and other records used to compile Semiannual Expense Reports for Non-Federally Funded Travel.

Destroy 1 year after submission of report to the Office of Government Ethics.

6. Ethics Program Review Files.

Reports, correspondence, and other records relating to OGE reviews of agency compliance with executive branch ethics laws and regulations in such areas as financial disclosure, education and training, and advice and counseling.

a. OGE program review reports, agency 60-day response letters, and other follow-up records sent to OGE on the resolution of program deficiencies.

Destroy when 6 years old.

b. All other records produced during OGE program reviews, including notes and background materials.

Destroy 1 year after the date of the OGE program review report or, if there are recommendations, one year after they are closed.

7. Annual Agency Ethics Program Questionnaire Files.

   a. Questionnaire completed by ethics officials on an annual basis in compliance with Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, and associated records.

      Destroy 3 years after submission.

   b. All other records related to responses to annual agency ethics program questionnaires.

      Destroy 1 year after submission of associated annual agency ethics program questionnaire.

8. Ethics Program Employee Training and Education Files.

   a. Records relating to the administration of new employee ethics orientations, annual, and other types of ethics training and education. Records include, but are not limited to, annual plans, schedules of classes, rosters of employees required to attend, verification of training completion and other related records.

      Destroy when 6 years old.

   b. Record copy of materials used in providing new employee ethics orientations, annual, and other types of ethics training and education including, but not limited to, instructors= guides, handbooks, handouts and other materials used in training classes, bulletins, and newsletters.

      Destroy when 6 years old or when superseded or obsolete, whichever is later.

9. Ethics Program Procedures Files.

   Procedures and related supporting records on the administration of ethics programs including, but not limited to, public and confidential financial disclosure reports systems, outside employment and activities approval systems, and referrals of violations of criminal conflict of interest statutes.

   Destroy when 6 years old or when superseded or obsolete, whichever is later.

10. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

   Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

   Destroy/delete when dissemination, revision, or updating is completed.

GENERAL RECORDS SCHEDULES

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189A	Travel Reimbursement Voucher - Memorandum	6 9	1 1
189B	Travel Reimbursement Voucher (Continuation Sheet) Schedule of Expenses and Amounts Claimed	6	1
189C	Travel Reimbursement Voucher (Continuation Sheet) - Memorandum Schedule of Expenses and Amounts Claimed	6 9	1 1
190	Foreign Service Emergency Locator Information	1	6

191	Outgoing Telegram	12	3
191A	Outgoing Telegram - Continuation Sheet	12	3
199	Notice of Shipment of Effects - Residence-to-Residence Method	9	1
200	Monthly Record of Vehicle Operation Costs	10	2
202	Leave Record	2	7
202A	Leave Summary	2	7
205	Statement of Operating Cash Advance and Replenishment Voucher	6	1
206	Purchase Order, Receiving Report and Voucher	3	3
206A	Purchase Order, Receiving Report and Voucher (Continuation Sheet)	3	3
208	Statement of Collections - Foreign Service of the United States of America	6	1
612	Optional Application for Federal Employment	1	1,15, 32
1017G	Journal Voucher	7	4
1121	Bill of Lading Accountability Record	9	1
1130	Time and Attendance Report	2	7

OF NUMBER	TITLE	Schedule	Item
1135	Time and Attendance Report	2	7
1136	Time and Attendance Report	2	7
1137	Leave Record	2	9

APPENDIX A

Disposition is pending on the following key identified systems/databases. Note: This list is not comprehensive; all systems/databases shall be scheduled via a SF 115 as discussed in the Manual. Future issuances will be published via change transmittals.

ALMIS	AVIATION LOGISTICS MANAGEMENT INFORMATION SYSTEM
AMVER	AUTOMATED MUTUAL ASSISTANCE VESSEL RESCUE SYSTEM
AOPS	ABSTRACT OF OPERATIONS
ARMS	AUTOMATED REQUISITIONING MANAGEMENT SYSTEM
ATONIS-AAPS	ATON INFORMATION SYSTEM/AUTOMATED AID POS SYSTEM
AUXDATA	AUXILIARY MANAGEMENT INFORMATION SYSTEM
BARD	BOATING ACCIDENT REPORT DATABASE
CASP	COMPUTER ASSISTED SEARCH PLANNING SYSTEM
CGINFO	CG INFORMATION SYSTEM
CMPLUS	CONFIGUATION MANAGEMENT FOR LOGISTICS AND SUPPLY
DIRECT ACCESS	CG HUMAN RESOURCES MANAGEMENT SYSTEM
ePMO	E-PROGRAM MANAGEMENT OFFICE
FEDS	FACILITIES ENGINEERING DATA SYSTEM
FEDLOG	FEDERAL LOGISTICS DATA ON CDROM
FLS	FLEET LOGISTICS SYSTEM
HMIS	HOUSING MANAGEMENT INFORMATION SYSTEM
IPDE	INTEGRATED PRODUCT DATA ENVIRONMENT
MMLD	MERCHANT MARINER LICENSE AND DOCUMENTATION SYSTEM
PAWSS	PORTS AND WATERWAYS SAFETY SYSTEM
PDS	PERSONNEL DECISION SYSTEM
RMS	READINESS MANAGEMENT SYSTEM
SANS	SHIP ARRIVAL NOTIFICATION SYSTEM

APPENDIX B FORMS AVAILABILITY

1. The following are available on USCG Electronic Forms on Standard Workstation III or on the Internet at http://www.uscg.mil/ccs/cit/cim/Forms1/welcome.htm or http://cgweb.uscg.mil/g-c/g-ccs/g-cit/g-cim/forms1/main.asp:

   a. Standard Form 135, Records Transmittal and Receipt

   b. Standard Form 258, Agreement to Transfer Records to the National Archives of the United States

   c. Standard Form 115, Request for Records Disposition Authority

   d. Form CG-4187, Vital Records List

   e. Form CGHQ-3342, Form/Report Information Authorization Record

   f. CGHQ-5149, Notification of Expiring Report

   g. DOT F-1700.3, Publications and Distribution Request Form

   h. DOT F-1710.2A, Request for Graphics Services

   i. Form CG-6022, File Plan

2. The National Archives Form 14028, Information System Description Form is available at http://www.archives.gov/records_management/web_site_snapshot/na_form_14028.html The National Archives Optional Form 11, Reference Request, is available at http://www.archives.gov/records_center_program/guide.html - a5